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**LAKE
FOREST**

COLLEGE

FACULTY HANDBOOK

April 1991 Revision



FACULTY HANDBOOK

Section I

FACULTY PERSONNEL POLICIES

Section II

FACULTY ACADEMIC AND ADMINISTRATIVE POLICIES

Section III

FACULTY GOVERNANCE POLICIES

April 1991 Revision

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SECTION I

FACULTY PERSONNEL POLICIES

A. GENERAL DEFINITIONS

1. DEFINITION OF FACULTY

According to the Bylaws of Lake Forest College adopted by the Board of Trustees on September 11, 1965, the faculty is defined as follows:

The faculty shall consist of the President of the College, the Deans, the Associate Deans, the Assistant Deans, the Professors, the Associate Professors, the Assistant Professors, the Instructors, the Lecturers, the Registrar, the Librarians, the Dean of Admissions, the Associate and Assistant Directors of Admissions, the Director of Athletics and the other full-time coaches.

While the above definition embraces teaching and administrative faculty, both full- and part-time, as well as coaches, certain of the following sections apply only to the teaching faculty, most notably the policies on appointments, review, tenure, promotion, and sabbatical leave.

2. EQUAL EMPLOYMENT OPPORTUNITY

All faculty appointments must meet equal employment opportunity standards. The President of Lake Forest College defined these standards in the following proclamation, approved by the Board of Trustees on September 27, 1975 (amended February 28, 1978):

It is the stated policy of Lake Forest College that appropriate qualifications for and performance of specific duties are the basic criteria for the employment and promotion of all College academic and non-academic staff. Lake Forest College does not discriminate against any persons because of race, color, sex, religion, or national or ethnic origin in its education program, activities, or employment. In addition, Lake Forest College is required by Title IX and regulations thereunder not to discriminate on the basis of sex in educational programs, activities, and employment. Lake Forest College does not discriminate on the basis of handicap against any otherwise qualified person by denying participation in, or the benefits of, any College program or activity.

3. ACADEMIC FREEDOM

On May 8, 1965, the Board of Trustees adopted the following resolution on academic freedom:

a. Lake Forest College subscribes completely to the principles of academic freedom as set forth in the Statement of 1940 adopted by the Association of American Colleges, and the American Association of University Professors and other organizations.

b. A member of the faculty who believes that his or her academic freedom has been infringed by an action of the College may appeal through the President of the College or the Chairperson of the General Policies Committee (now the Faculty Personnel Policies Committee) of the Faculty to the Promotion and Tenure Subcommittee of FPPC (policy changed, Board of Trustees, Feb. 22, 1977).

c. If an issue of academic freedom cannot be resolved satisfactorily locally and a member of the affected faculty should request the American Association of University Professors to make an inquiry into the case, the College will offer full cooperation in the investigation.

At the same time the Board of Trustees also approved as College policy the following statement printed in the June 1963 issue of the *Bulletin* of the American Association of University Professors:

Teachers are entitled to full freedom in research AND in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

Teachers are entitled to freedom in the classroom in discussing their subject, but they should be careful not to introduce into their teaching controversial matter which has no relation to their subject. Limitations of academic freedom because of religious or other aims of the institution should be clearly stated in writing at the time of the appointment.

B. APPOINTMENTS, REVIEW, TENURE, PROMOTION AND RETIREMENT

The following applies to full- and part-time faculty who teach courses at Lake Forest College which lead to an academic degree.

All new employees must comply with the Immigration Reform and Control Act of 1986, and verify, in person with the Business Office prior to actual employment, their "eligibility of employment." Verification of employment eligibility requires the completion of an I-9 form and the presentation of original documents proving identity and eligibility to work in the United States (i.e., for U.S. citizens, a driver's license with photo and original Social Security Card). It is unlawful for the College to hire individuals unauthorized to work in the United States (Amended September 1, 1987, in light of new federal guidelines).

1. APPOINTMENT TO THE FACULTY¹

(Approved by Board of Trustees, December 6, 1975)

Full-time faculty appointments are made by the Board of Trustees. All candidates for faculty positions are interviewed by members of the Faculty Personnel Policies Committee and the Dean of the Faculty, who together make final recommendations to the President about the person as well as about the title and/or professorial rank. Upon acceptance of an offer on the part of the new faculty member, the President will submit for approval by the Board of Trustees the appointment of the candidate.

In recruiting and appointing faculty, every effort shall be made to obtain the best qualified person for the available position. If this effort results in a relationship in which one member of a family would be evaluated by another member, some substitute arrangement for such evaluation will be worked out. Other departmental faculty and/or a special committee appointed will function for that purpose.

2. APPOINTMENT TO TEACHING FACULTY

(Approved by Board of Trustees, October 22, 1977)

Appointment to the teaching faculty is made with the title Lecturer, Instructor, Assistant Professor, Associate Professor, or Professor. The last four are successive professorial ranks open only to those having a full-time appointment at the College. In disciplines where a doctorate is normally expected as the appropriate final credential, full-time faculty without the doctorate are appointed as Instructors. All part-time faculty are appointed as Lecturers, except that tenured faculty who accept a part-time position continue in their ranks.

Appointments are for a term or continuing. Terminal appointments end at the specified time without further notification from Lake Forest College. Continuing appointments are annually renewed until notice of termination is given in accordance

¹ Department Chairpersons, or anyone in charge of hiring for a faculty position, should be familiar with the official faculty policy on Faculty Hiring Procedures. A detailed description of these Procedures may be obtained in a printed handout from the Office of the Dean of Faculty.

with the policy on "Termination of Faculty Appointments." All part-time appointments are for not more than one year. New appointees with three or more years of prior full-time teaching experience are eligible for a two- or three-year initial appointment.

3. COUNTABLE SERVICE FOR REVIEW, TENURE, AND PROMOTION
(Approved by Board of Trustees, May 6, 1983)

For purposes of third-year review, tenure consideration, and promotion consideration, countable service will normally be measured by full academic years. An academic year which includes a reduction of one third or less of the normal teaching load will count as a full year. An academic year which includes a reduction of more than one third of the normal teaching load will not be countable, with the following exception: if the reduction is a leave of absence for academic purposes, that year will count in the timing for tenure consideration provided the faculty member so stipulates this as part of the leave request; otherwise it will not count. Faculty participation in an Associated Colleges of the Midwest program during the academic year will normally count as Lake Forest College teaching service.

4. ANNUAL AND THIRD-YEAR REVIEW
(Approved by Board of Trustees, October 22, 1977; amended, October 3, 1980, September 23, 1988, May 11, 1990)

By December 15, chairpersons will obtain from each member of their department an updated *vita* and, on a form provided by the Dean of the Faculty, a description of academic and service activities during that calendar year. (Faculty who have participated in ACM-associated programs may submit information regarding that participation.) By January 15 they are to submit to the Dean these materials, similar information about themselves, and evaluations of the performance of members of their department. All this material will be referred to in making decisions concerning termination, reappointment, tenure, and promotion. It will also be used by the Dean in recommending to the President individual salary levels for the succeeding academic year. The character of the evaluation must be conveyed by the chairperson to the department member in writing prior to its submission; in the case of untenured faculty, chairpersons should also address themselves to anticipated departmental and College needs as they bear on the faculty member's future at the College.

In the case of faculty who could later be eligible for tenure consideration, in addition to this annual review, a review in the third year of countable service as a faculty member is conducted by a committee consisting of the Department Chairperson, the Dean of the Faculty, and one member of the Promotion and Tenure Subcommittee (members of which are assigned by its Chairperson to various review committees). The committee operates in accordance with these principles:

- a. Criteria employed are those described in "Need Criteria for Tenure" (see I, B, 5, d) and the following performance criteria:

Teaching. Demonstration of capability and effectiveness in teaching, with evidence of ability to respond to present and future teaching needs of the department and the College.

Scholarship. Promise of productivity in published scholarship or appropriate creative activity.

Service. Active participation in and contributions to the College in its governance, on-campus cultural programs, or some other formal extra-curricular activities (such as honorary societies, student publications, athletic teams, alumni programs).

Teaching capability and effectiveness are the most important criteria.

While primary emphasis is placed on the above criteria, consideration is also given to the faculty member's degree status, experience in teaching, fellowships and awards, grant applications, participation in professional organizations, presentations at professional meetings, lectures outside the College, student advising, participation in departmental and interdepartmental programs, published writings, and any other College, community, or professional activities.

- b. Materials considered are the faculty member's *vita* and statements of activities and accomplishments, the College's student evaluations of the instructor, and descriptive and evaluative statements by the department chairperson, the Dean of the Faculty, and members of the student Academic Advisory Committee. The chairperson and the Dean are to address themselves specifically to the future needs of the department and the College as well as to the faculty member's performance.

- c. By March 1 the review committee formally recommends to the President that the faculty member be given a one-year terminal appointment or be retained on a continuing appointment. After the President has informed the faculty member of the subsequent appointment, the Dean of the Faculty, in writing approved by other members of the review committee, informs the faculty member of the committee's evaluation of strengths and areas of needed improvement. The faculty member is then encouraged to meet with the committee to discuss the evaluation.

Unless changing College needs require reduction in faculty size or departmental allocations, faculty members retained on a continuing appointment

after the Third-Year Review will ordinarily be considered for tenure in their sixth year of countable service unless not so recommended by their department chairperson or the Dean of the Faculty. If a faculty member is not given tenure consideration in that year, the appointment for the following year will be a terminal one.

(To eliminate any misconception that a successful third-year review necessarily implies a successful tenure review, the FPPC recommended the following on December 7, 1981: "The criteria for tenure are more stringent and comprehensive than those for third-year review. Faculty are encouraged to discuss the procedure and criteria for third-year and tenure review with their chairperson or the Dean of Faculty.")

5. TENURE

(Approved by Board of Trustees, October 22, 1977; amended May 11, 1990)

Faculty members to be considered for tenure are brought with their consent to the attention of the Promotion and Tenure Subcommittee of the Faculty Personnel Policies Committee only by their department chairpersons or the Dean of the Faculty. A recommendation for tenure does not by itself entail a recommendation for promotion.

a. Definition of Tenure

Tenure is a commitment by the College that a faculty member will be retained on a full-time basis until the faculty member's employment ends through resignation, retirement, or dismissal or termination for cause.

b. Eligibility for Tenure Consideration

Eligibility for tenure consideration is restricted to full-time faculty in professorial ranks whose primary duty (defined as over half-time) is to teach courses which lead to an academic degree at Lake Forest College and who have completed their doctorate or, in the case of faculty in the creative or performing arts, an appropriate master's degree. Instructors serving primarily as laboratory supervisors can be retained on a yearly basis without being eligible for tenure consideration. Faculty members are considered only once for tenure. If an unanticipated tenurable vacancy occurs in a department, e.g., as a result of the departure of a tenured faculty member, faculty members in that department who were denied tenure solely because of lack of a tenure opening or who were not considered for tenure because of lack of such an opening will be eligible to be candidates for such positions. Because such appointments may obligate tenure because of length of service, both the President and the Promotion and Tenure Subcommittee must agree to the candidacy of a faculty member under these conditions. The evaluation of

such candidates will include a full consideration for tenure if the faculty member in question was not so considered at an earlier time.

c. Timing for Tenure Consideration

Tenure consideration must be timed to meet the following principles:

- i. Faculty members initially appointed at the rank of Associate Professor or Professor shall receive tenure no later than at the end of four years of countable service at Lake Forest College unless the appointment to the fourth or prior year was a terminal appointment.
- ii. Other eligible faculty members shall receive tenure no later than at the end of seven years of countable service at Lake Forest College unless the appointment to the seventh or prior year was a terminal appointment.
- iii. Three years or less of prior teaching with the doctorate at another institution may, for purposes of tenure, be counted as equivalent to teaching at Lake Forest College, but no more than three years of credit will be granted for such prior experience. When there has been prior experience, a new faculty member will be given the choice of whether to count all eligible prior experience or to waive the counting of such experience in the initial letter of appointment and will be expected to respond appropriately in accepting the appointment that letter offers.

Early tenure decisions--that is, consideration before the maximum time allowable in accordance with the above principles--will entail even more rigorous application of the criteria than is normally the case.

d. Need Criteria for Tenure

In every instance of tenure consideration, the academic needs of the department concerned, of interdisciplinary programs, and of the College as a whole are crucial. Major needs to be considered are the following: the candidate's academic specialties, flexibility within sub-disciplines within a department, flexibility in establishing future programs and curricula, and the continued stimulation of the intellectual atmosphere of departments and the College usually provided by new members of the faculty.

As one way of providing for these last two needs, tenure guidelines are established for departments in accordance with the following ratios of maximum tenured faculty to total full-time equivalents (FTE) in a department: 1/1, 1/2, 2/3, 3/4, 3/5, 4/6, 5/7, 5/8, 5/9, 6/10. In departments having fractional FTE's, the fraction will be ignored. Appropriate adjustments will cover interdepartmental appointments. Tenured faculty in administrative positions will be included in the determination of department ratios. In the department of Foreign Languages these guidelines will apply to the faculty allocation for the major rather than to the department. Guidelines may be exceeded only in extraordinary and exceptional cases (as determined by the Promotion and Tenure Subcommittee) or when a retirement of a tenured member of the department is imminent.

e. Performance Criteria for Tenure

Candidates for tenure are judged on their teaching, scholarship, and service, in that order of priority. To be recommended for tenure, candidates must have met each of the following performance criteria:

Teaching. Demonstration of commitment to teaching, with evidence of marked effectiveness at both introductory and advanced levels, and of ability and willingness to meet present and future teaching needs of the College.

Scholarship. Demonstration of commitment to scholarship, with evidence of acceptance for publication of articles in selective professional periodicals (or of a refereed book manuscript). For faculty teaching primarily in creative or performing arts: demonstration of commitment to artistic creativity, with evidence of quality refereed achievements. Promise of continued productivity.

Service. Demonstration of commitment to serving the College community, with evidence of active involvement in extra-curricular functions and student advising and of contributions in other service areas such as governance, academic committees, or presentations for off-campus groups.

While primary emphasis is given to the above criteria, consideration is also made of other College, professional, and community activities, such as participation in workshops to improve teaching, contributions to departmental and interdepartmental planning and programs, participation in professional organizations and conferences, book reviews, journalistic or other occasional publications, and recent fellowships or awards.

f. Procedures for Tenure Consideration

Early in the fall term, the Dean of the Faculty will solicit for presentation to the subcommittee by October 10 the following material with respect to candidates for tenure:

- i. A *vita* and a written statement by the candidate on his or her own behalf, with a copy furnished to the department chairperson, outlining the candidate's achievements against the criteria for tenure.
- ii. A written statement by the chairperson employing the applicable criteria, completed after the chairperson has considered the candidate's statement.
- iii. Written opinions employing the applicable criteria by tenured colleagues in the department and/or in interdisciplinary programs in which the candidate has worked. Evaluations by non-tenured colleagues may also be submitted or invited.
- iv. Written opinions about the candidate's teaching effectiveness by each member of the relevant departmental or interdisciplinary student Academic Advisory Committee.
- v. Written reports by faculty chairpersons of standing committees of the College's governance structure on the candidate's performance on committee assignments.
- vi. The College's student evaluations of the candidate's instruction. These will be a major, but not the sole, evidence of teaching effectiveness. Faculty statements, especially by the department chairperson, will also be considered, as will the statements by students on the Academic Advisory Committee.
- vii. Copies of all annual reviews of the candidate. From this and other material the Dean should prepare in addition a summary sheet listing the candidate's history of courses taught, enrollments, independent studies, committee assignments, number of advisees, special projects, and any other relevant information not included in the candidate's *vita*. A copy of the summary sheet is to be furnished to the candidate.

The subcommittee may ask the Dean of the Faculty, the department chairperson, outside evaluators (regarding the quality of the candidate's scholarship), or the candidate for additional material it deems necessary for an equitable deliberation, as long as it informs the candidate of the nature of the request. The candidate may also submit additional material without request. A record shall be kept of all data considered by the subcommittee and all materials shall be kept for at least two years in the Dean's office.

After most of the material has been presented and initially reviewed, but before deliberations have begun, the subcommittee chairperson is to extend an invitation to the candidate to meet with the subcommittee. The purpose of such a meeting is to ascertain facts and to clarify what further data, if any, might be needed for a full consideration of the candidate's performance as well as the academic needs of the College.

After careful review of all the material submitted, the subcommittee takes a vote which is held in confidence. A recommendation for tenure is made to the President if a majority of the subcommittee votes affirmatively. In accordance with the Bylaws, the President in turn makes a recommendation to the Board of Trustees for a final decision. Candidates must be notified of the President's acceptance or rejection of the subcommittee's decision by December 1 unless extenuating circumstances make that impossible.

A candidate has a right to a written statement from the subcommittee concerning its reasons for not recommending tenure.

Tenure becomes effective at the beginning of the academic year following that in which a positive recommendation by the subcommittee is accepted by the President and the Board of Trustees.

6. PROMOTION

(Approved by Board of Trustees, October 22, 1977; amended Board of Trustees, January 19, 1980; May 10, 1985)

Faculty members to be considered for promotion to Associate Professor or Professor are brought to the attention of the Promotion and Tenure Subcommittee only by their department chairpersons or the Dean of the Faculty. A recommendation for promotion does not by itself entail a recommendation for tenure.

a. Timing of Promotion

Promotion from Instructor to Assistant Professor is automatic upon completion of all the requirements for the doctorate, as certified by the appropriate authority at the degree-granting institution.

Ordinarily, promotion from Assistant Professor to Associate Professor is made after six years of countable service with the doctorate or appropriate terminal degree and after four years of countable service at Lake Forest College. Although time in rank is a consideration, in individual cases the time between hiring and promotion may be longer or shorter than six years, depending on the candidate's performance as compared with that expected for promotion of a faculty member who began teaching without previous experience at Lake Forest College, but with the doctorate or appropriate terminal degree. Promotion of full-time faculty whose teaching responsibilities are half the normal course load or less than half will not ordinarily occur at the same rate as that of other teaching faculty.

There is no time schedule for promotion to the rank of Professor.

b. Criteria for Promotion

Criteria for promotion from Assistant Professor to Associate Professor are identical to those listed under "Performance Criteria for Tenure."

Promotion to full Professor represents a reinforcement of the life-long commitment made with the granting of tenure. Such reinforcement must reflect substantial additional accomplishment, actual and potential. To be recommended for promotion to Professor, the candidate must therefore meet the following criteria:

Teaching. Evidence of continued high performance and growth in teaching competence, an ability to engage students in research as indicated by their accomplishments in independent studies and senior projects, an ability to attract students to some courses, and a willingness to meet the diverse teaching responsibilities of the department and the College.

Scholarship. A demonstration of the completion of a substantial increment of scholarly or appropriate creative work, over and above that which was known and taken into account at the time the decision was made to hire at or promote to the Associate Professor rank.

Service. Continued active participation in and contributions to the College in its governance, on-campus cultural programs, or some other formal extra-curricular activities.

While primary emphasis is given to the above criteria, consideration will also be made of the other items mentioned under "Performance Criteria for Tenure."

c. Procedures for Promotion Consideration

Procedures for promotion consideration are identical to those listed under "Procedures for Tenure Consideration" with these provisos:

- i. Materials should be submitted by November 1.
- ii. For a person being reconsidered for promotion in a subsequent year, some of the material need only be updated in accordance with stipulations by the candidate, the department chairperson, or the subcommittee.
- iii. Candidates should be notified of the President's acceptance or rejection of the subcommittee's decision by no later than March 1.
- iv. Candidates not being promoted should be informed by the Dean of the Faculty in writing of the reasons why the subcommittee did not recommend promotion, so that they know in what areas to work in order to enhance their future candidacy.

7. RETIREMENT OF FACULTY

a. Retirement Age

The following policy on retirement was adopted by the Board of Trustees, January 20, 1979, (amended October 5, 1985; January 1, 1989) in the light of new federal guidelines:

- i. Normal retirement age for faculty who have been granted tenure is herein defined as the last day of the appointment year in which age 65 is attained. Faculty will retire at the normal retirement age if age 65 is attained before July 1, 1982; faculty attaining age 65 after July 1, 1982, will retire not later than the last day of the appointment year in which age 70 is attained.
- ii. Normal retirement age for other employees is defined as the last day of the appointment year in which age 65 is attained. Those employees who are in *bona fide* executive or high policy-making positions with non-forfeitable annual retirement benefits equivalent to a single life annuity of \$44,000 provided by the College will retire at the normal age. All others may retire at

normal retirement age but will retire no later than the last day of the appointment year in which they attain age 70.

b. Voluntary Retirement Incentive Plan

The following "Voluntary Retirement Incentive Plan for Highly Compensated Faculty and Administrative Staff of Lake Forest College" was adopted by the Board of Trustees on December 14, 1985, effective as of January 1, 1986, and amended effective June 1, 1990:

The normal retirement age for faculty and administrators at Lake Forest College has long been age 65. This age has suggested the retirement benefits of the College and has also guided plans made by individuals and their spouses. In recent years two factors have, however, impacted this situation.

- i. The mandatory national retirement age was changed from age 65 to age 70, and has recently been uncapped completely. (Except as to tenured faculty members). This suggests to some that they may wish to work beyond age 65 to age 70, and even longer.
- ii. Actuarial tables continue to project increased longevity for individuals, and yet the costs of living longer are significant as well, particularly in terms of health insurance and housing. Thus, there is another incentive to work beyond age 65.

The College views the likely trend to continue working beyond 65 as sometimes unhappy for the individuals and also for the institution itself. An individual who has committed himself/herself to this College for a number of years, and in many cases to his or her academic discipline for even longer, surely deserves to retire by age 65 and to enjoy the opportunity such retirement affords for leisure, recreation, and independent scholarship. And the institution, while valuing greatly the contributions of its senior faculty members and administrators, benefits also from the intellectual stimulation of younger faculty, recently graduated from distinguished graduate schools where they were often the recipients of new scholarship and different methods of teaching, and of administrators, too, drawn from other positions and experiences.

In view of these circumstances and without any intention of discriminating in any way against its older employees, the College, as of January 1, 1986, instituted the Retirement Incentive Plan as of January 1, 1986. Eligibility to receive benefits under this plan was open to those faculty

members and administrators who would have taught or worked at the College full-time for twelve or more preceding years and who would wish to retire by age 65. Such eligibility required one additional year of service each year until January 1, 1990, when the individual concerned would have been required to work at the College full-time for fifteen or more preceding years.

Recently enacted federal legislation has required the revision of eligibility rules. Therefore, effective as of June 1, 1990, the eligibility rules have been revised. Eligibility to receive a benefit under the Plan will be limited to full-time faculty and administrators who meet the following criteria:

- a. Attainment of age 50;
- b. Annual gross earnings from Lake Forest College of at least \$50,000; and
- c. Attainment of at least five years of full-time service for the College.

In addition, those faculty members and administrators who as of June 1, 1990, had attained aged 62, regardless of salary, are also eligible to participate in the plan.

Once an employee is eligible, the employee will actually qualify for benefits under this plan if he or she retires between ages 62 and 65 after working for the College full-time for fifteen or more preceding years.

This plan offers a faculty member or administrator who qualifies for benefits under the preceding two paragraphs one of four options, as follows:

- i. Single Cash Contribution -- Lump Sum: The College will make a single retirement contribution equal to the salary in the last year of full-time employment for those retiring between age 62 and age 65. This payment will be made at the time of the regularly scheduled last salary check. The purpose of this option is to provide funds perhaps necessary for the purchase of a home, and to allow for travel and relocation expenses if appropriate.
- ii. Cash Contribution -- Spread over Twelve or Fewer Months: For those retiring between age 62 and age 65 the College will make a cash contribution equal to the salary in the last year of full-time employment as with the Single Cash Contribution, but in this option spread it over twelve or fewer monthly

installments (thus, during two tax years) with the first payment one month after the regularly scheduled last salary check.

- iii. Single Retirement Contribution -- Tax Deferred /Lump Sum: The College will make a single retirement contribution, equal to the salary in the last year of full-time employment for those retiring between age 62 and age 65, to the retiree's retirement account. Because of federal regulations related to deferred income, if such a sum exceeds the amount that can legally be placed in the individual's retirement account the difference will be paid to the retiree in a lump sum. Such payment shall be made at the time of the regularly scheduled last salary check.
- iv. Retirement Contribution -- Tax Deferred/Twelve Month Payment: The College will make a single retirement contribution, equal to the salary in the last year of full-time employment for those retiring between age 62 and 65, to the retiree's retirement account. If that sum exceeds the limit allowed by federal regulations the difference will be paid to the retiree over twelve monthly installments starting one month after the last regularly scheduled salary check.

For those retiring under the terms of this plan, the College will provide regular health insurance at the appropriate single or family rate until a retiree reaches 65, and Integrating Medical Insurance (integrating Medicare) to age 70; further, once the employee is 65, it will make regular health insurance available to the retiree's spouse to age 65, and integrated insurance thereafter, *at cost*, until the retiree turns 70. This insurance program responds to a major concern of those who wish to retire at or near age 65. In the event the retiree dies prior to age 70, or reaches age 70 prior to spouse reaching age 65, the retiree's spouse shall be eligible to participate in the health insurance program *at cost* until age 65.

The College will continue to offer to retired faculty insofar as possible space to study on this campus, and intends to make available computer accessibility and limited secretarial services as well. Such individuals can offer much to the College through participation in the life of the College, and those contributions should and will be encouraged.

These options are made available to eligible members of the faculty and administrative staff to encourage them to consider voluntarily retiring from active teaching and administrative duties at the College before or at age 65, in accordance with retirement expectations and practices and in recognition of what has often been a life-time of dedicated service to

academic life. An option is available only after timely notification to the Dean of Faculty or the President, as appropriate; in all cases, the College must be notified by November 1 of the appointment year in which the retiree turns 65 or at the end of which he/she wishes to elect one of the retirement incentive options.

The College reserves the right to amend, modify, revoke or terminate all of any part of this plan at any time.

c. Emeriti Professors

Emeriti professors will retain full faculty rights and privileges exclusive of tenure, salary, direct financial benefits, committee membership and the vote. It will be the obligation of the Dean of the Faculty to make appropriate arrangements for the emeritus professor's access to College facilities and events. Among these rights and privileges will be included the following: the use of office space and laboratory facilities when available; free use of the library and sports center facilities; a faculty mailbox if requested; attendance at College-sponsored academic, social and athletic events under conditions accorded all faculty; membership in College-associated organizations; attendance at faculty meetings; a listing in the staff directory; and participation in commencement ceremonies.

C. RESIGNATION², TERMINATION², GRIEVANCE², SEXUAL HARASSMENT

1. RESIGNATION

Faculty members considering offers from other institutions are expected to abide by the standards recommended by the Association of American Colleges and the American Association of University Professors, printed in the March 1961 issue of *Liberal Education* and summarized as follows:

Negotiations for appointment of faculty members employed at other educational institutions should be begun and completed as early as possible in the academic year prior to employment. It is desirable that Lake Forest College faculty members approached with regard to another position inform the Dean of the Faculty when such negotiations are in progress. Faculty members accepting an appointment elsewhere should promptly notify the Dean and the President.

Resignations to accept other employment must be submitted no later than May 15, except in emergency or hardship cases for which the faculty member may ask the administration to waive this requirement. To make due consideration and timely notice possible, institutions are not to make appointing offers to continuing faculty after May 1.

Unless the College agrees, faculty members may not leave and should not be solicited by other institutions to leave their positions during an academic year for which they hold an appointment.

These provisions apply to all members of the faculty.

2. TERMINATION

a. Termination of Employment of Non-Tenured Faculty

Except for terminations and dismissals for cause (see below), termination of employment of teaching faculty on a continuing appointment prior to that resulting from a recommendation by the Third-Year Review Committee comes about when the Dean of the Faculty, in consultation with the chairperson and other tenured members of the department, deems that termination is dictated by the academic needs of the department or the College; or when the Dean, upon recommendation by the department chairperson, judges that the faculty member's performance has been less than adequate.

² Policy passed by Board of Trustees, October 22, 1977, as part of revised policy on Tenure and Promotion.

Termination resulting from a recommendation by the Third-Year Review Committee is based on grounds either that the needs of the department and/or College would best be served by such termination or that the faculty member has not met the performance criteria for continuation.

Except for terminations and dismissals for cause (see below), termination of employment of teaching faculty on a continuing appointment after the Third-Year Review but prior to the year appropriate for tenure consideration can be based only on changing College needs which require reduction in faculty size or departmental allocations. Prior to deciding on such termination, the President is to consult with the faculty member's department chairperson and with the Faculty Personnel Policies Committee.

Faculty members who are considered for but denied tenure or who are not recommended for tenure consideration in their sixth year of countable service are given a terminal appointment for the following year. Such a terminal appointment will remain in effect even if the faculty member requests and is granted a leave or part-time status for part or all of that year.

In the case of faculty members ineligible for tenure (e.g., administrators, librarians, physical educators, and teaching faculty with half-time or more administrative duties), termination comes about after the President, in consultation with the Faculty Personnel Policies Committee, deems that termination is justified by a change in the needs of the College; or after the President, upon recommendation by the faculty member's supervisor, judges that the faculty member's performance has been inadequate.

Faculty members whose employment is terminated are entitled, if they make the request, to a letter from the President or Dean of the Faculty stating the reasons for such termination.

In all cases of terminations or dismissals for cause, procedures described in "Termination of Employment of Tenured Faculty" apply.

b. Notice of Termination for Non-Tenured Faculty

Faculty members who have been in the employ of the College for less than one year will be notified no later than March 1 of that academic year that they will not be reappointed for the following year.

Faculty members who have completed at least one year of service in the employ of the College will be notified no later than July 1, and preferably earlier, that they will not be reappointed after the end of the academic year following the notification.

These provisions do not apply to faculty members holding full-time administrative positions (deans, registrar, admission directors); their termination notices accord with guidelines stated in the *Administrative Personnel Handbook*.

c. Termination of Employment of Tenured Faculty

Termination of an appointment with continuous tenure, or of a continuing or terminal appointment prior to the end of the specified term, may be effected by the College only for adequate cause. Such terminations will be specified as either a termination for cause or a dismissal for cause.

i. Termination for Cause

Termination for cause can be made only on the basis of financial exigency, discontinuance of a program or department not mandated by financial exigency, or medical reasons.

For provisions and procedures governing termination for cause, the College will use as guidelines the 1976 Recommended Institutional Regulations on Academic Freedom and Tenure printed in the summer, 1976, *AAUP Bulletin*, pp. 186-187, with the following provisos for implementation at Lake Forest College:

In the decision to discontinue formally a program or department of instruction, the Trustees will give major attention to educational considerations recommended by the Academic Policies Committee and by the faculty as a whole.

The College Council is to be consulted in any decision by the Board of Trustees that a condition of financial exigency exists or is imminent. After consultation with the Academic Policies Committee, the Promotion and Tenure Subcommittee, employing accepted standards of due process, should assume primary responsibility for recommending the status of individual faculty members.

ii. Dismissal for Cause

Dismissal for cause can be made only on the basis of professional incompetence or moral turpitude.

Dismissal for cause must be preceded by (1) discussions among the faculty member, the department chairperson, the Dean of the Faculty, and the President; (2) informal inquiry by an ad hoc committee appointed by the Faculty Personnel Policies Committee, which may determine whether in its opinion dismissal proceedings should be undertaken, without its opinion being binding on the President; (3) a statement of charges, framed with reasonable particularity by the President or the President's delegate.

If a statement of charges is presented to the faculty member and the faculty member wishes to contest it, a formal hearing will be held. The hearing committee will consist of all members of the Promotion and Tenure Subcommittee of the Faculty Personnel Policies Committee. In the case of a member of the PTS being considered for dismissal or other members deeming themselves disqualified for reasons of bias or interest, places on the hearing committee will be taken by former members of the PTS in order of the recency of their service.

Except when inconsistent with the provisions of this policy, provisions and procedures governing the hearing are those articulated under "Dismissal Procedures" in the Recommended Institutional Regulations on Academic Freedom and Tenure printed in the summer, 1976, issue of the *AAUP Bulletin*, pp. 188-189. After the hearing, formal dismissal can be made only by the Board of Trustees, upon recommendation by the President.

d. Physical Education Faculty

The following statement concerning the physical education staff was passed by the Board of Trustees on April 8, 1972:

Lake Forest College is committed to a concern for all aspects of the lives of its students, their bodies as well as their minds and characters. Toward that end, the College maintains a program of physical education, designed to provide physical fitness and certain skills in sports. The College also sponsors a wide variety of intramural and intercollegiate activities, which are seen as opportunities for students in recreation and in learning. The College believes, in short, in amateur athletics for professional students.

The physical education staff is employed and retained with a view toward serving students in the ways suggested above. Members of the staff, though not eligible for tenure, since that is a practice designed to assure the academic freedom of the classroom teacher, may anticipate reappointment provided that program needs justify such appointment and as long as they continue to promote in a satisfactory manner those sports which the College sponsors, and continue to assist students to develop physical fitness and athletic skills. If there is dissatisfaction with their performance (e.g., ineffective coaching, lack of personal leadership, inadequate skill and/or effort), their services might be terminated. Due notice would be given in such an instance, following the procedure of I, C, 2, b. Members of the physical education staff would be subject to an annual review (a practice which is also followed with regard to faculty appointments and renewals).

3. GRIEVANCE

(Approved by Board of Trustees, September 29, 1984.)

a. Summary Conditions and Procedures

A faculty member who feels cause for grievance is expected to try to resolve the grievance by conferring with the person or persons against whom the faculty member has a complaint. If the matter cannot be thus resolved, the faculty member may petition the faculty Grievance Committee (hereinafter GC) for a recommendation concerning the following matters:

- i. denial of tenure or promotion, termination of employment of non-tenured faculty, or termination of employment for cause (not dismissal for cause);
- ii. salary, assignment of teaching duties, assignment of space or other facilities, assignment of committee responsibilities, or similar results of administrative decisions;
- iii. alleged handicap discrimination.

A faculty member who feels cause for grievance on the basis of a handicap discrimination which denies the member participation in or benefits of a College program or activity, in accordance with Section 504 of the Rehabilitation Act of 1973, should first present the grievance in writing to the Assistant to the President. Failing resolution, the matter can then be referred by the petitioner to the GC.

b. Composition of the Grievance Committee

The GC, elected each year by the faculty, consists of three members and one alternate member. Eligible candidates must be tenured and may not be department chairpersons, administrative officers, members of the Faculty Personnel Policies Committee, or faculty absent from the campus during part or all of the academic year because of leave status or academic responsibilities. The alternate serves in case a petitioner is a member of the same department as a regular GC member or in other cases of conflict of interest or practicality as determined by the GC.

Early in the academic year the chairperson of the Faculty Personnel Policies Committee should send to the faculty a ballot listing eligible candidates. Each faculty member may vote for up to three candidates. Names of the six receiving the larger number of votes will appear on a second ballot, from which each voter may pick up to three names. Elected members of the GC are those personnel with the higher number of votes, the fourth highest serving as alternate.

c. Petitions

Petitions presented to the GC should set forth in detail the nature of the grievance and should state against whom the grievance is directed.

d. Grievance Committee Procedures

The GC normally functions without a chairperson, members mutually agreeing on administrative details. Decisions are made by majority vote, but minority views may be expressed in the final recommendation.

The GC is responsible for making a tentative judgment on the relative merit of a petition. If, after initial consideration or at any time in subsequent investigations, negotiations, or deliberations, merit is found lacking, the GC may deny the petition. The decision and supporting reasons are to be furnished in writing to the petitioner, who then has no recourse within the College.

If the GC wishes to investigate the matter after initial consideration, it should convey the substance of the petition to the party against whom the petition is lodged and request a written response. The GC may seek additional information from the petitioner and from other relevant sources. It may also seek a settlement of the issue satisfactory to the parties. If the GC believes such a settlement is not possible or is not appropriate, and if it

believes that there is merit in the petition, the following principles and procedures apply:

- i. In connection with grievances under a., i. above, the purview of the GC is restricted to procedural issues and therefore excludes consideration of substantive judgments of whether the petitioner merits tenure, promotion, or continued employment. In connection with grievances under a., ii. and a., iii. above, the GC is to weigh all relevant factors as presented by the petitioner and respondent(s) and otherwise discovered in its investigation. GC concerns should be guided by questions such as these: Was faculty policy followed? Was the decision conscientiously arrived at? Was appropriate evidence bearing on the decision sought out and considered? Was there adequate deliberation over the import of the evidence in the light of relevant standards and/or other concerns? Were irrelevant or improper standards or concerns excluded from consideration?
- ii. A GC finding of some merit in the petition takes the form of a recommendation of reconsideration, sent to the appropriate person(s), with a copy to the petitioner. The person(s) against whom the petition is lodged is thereby required to make a formal reconsideration, giving serious attention to, but not being bound by, the case as presented by the GC, and responding in writing to the GC and to the petitioner.

4. SEXUAL HARASSMENT STATEMENT
(Approved by Board of Trustees, December 13, 1986, amended on September 1, 1987)

a. Policy

It is the policy of Lake Forest College to maintain the College community as a place of work and study for staff, faculty and students free of sexual harassment. The violation of this policy by members of the College community, and all third-party individuals who serve the College community, can result in discipline and discharge for employees; discipline and dismissal of students; and such penalties, sanctions, and impositions against other individuals or parties as may be available to the College given the nature of the contractual or business relationship that may be established with such parties or individuals.

Sexual harassment complaints may only be processed under the terms of this policy and such complaints may not be presented or processed through any other internal complaint resolution or grievance procedure.

b. Definition

Sexual harassment is defined as unwelcome sexual advances (heterosexual or homosexual), requests for sexual favors (heterosexual or homosexual), and other verbal and physical conduct of a sexual nature when (1) submission to such conduct or communication is made either explicitly or implicitly a term or condition of an individual's employment or academic status, (2) submission to or rejection of such conduct or communication by an individual is used as the basis for employment or academic decisions affecting the individual, or (3) such conduct or communication has the purpose or effect of substantially interfering with the individual's work, academic performance, or housing, or of creating an intimidating, hostile or offensive working or educational environment. An offensive or hostile environment will be judged to exist only where the offensive conduct continues over a period of time; a single or isolated instance is insufficient to establish a valid "offensive environment" claim.

Individuals who have been harassed as defined above because of their sex or sexual preference have recourse to formal and informal grievance procedures through the Sexual Harassment Hearing Board.

c. Sexual Harassment Hearing Board

The Sexual Harassment Hearing Board is composed of eight standing members, appointed by the President to staggered terms of two years each, after consulting with the Faculty Personnel Policies Committee, the Officers of Student Government, and the officers of EAR. The President shall select the standing members of the board for their sensitivity to the issues with which the board deals and the respect they command within the College community. All members of the community may nominate individuals for board membership provided the nominees are willing to serve if appointed. Ideally, the standing members of the board will be composed of equal numbers of men and women, and will include at least two students, two members of the faculty, two members of the exempt administrative staff, and two members of the non-exempt bi-weekly administrative staff.

No more than four members of the standing board will hear any case involving sexual harassment as designated under the section, "The Hearing." The two student board members may only be selected to hear cases in which

a student is involved as either complainant or accused. In all other cases, the Hearing Board may be selected only from the remaining six board members.

The chairperson of the board shall be designated by the President.

d. Initiating a Complaint

(Amended by Board of Trustees, May 12, 1989)

A complaint of sexual harassment must be initiated within 180 days of the alleged harassment or culminating incident of harassment. A member of the College community may talk with any standing member of the board about sexual harassment. Board members will provide information about the review procedures and their possible outcomes. A board member may encourage an individual to talk directly with the person whose behavior has given rise to the complaint. Provided the complainant agrees, a board member may discuss a complaint with other board members, but will identify the complainant only if he or she authorizes such identification and will identify the person complained against only if the complainant agrees to be identified.

e. Informal Mediation

Informal mediation is required before a formal complaint of sexual harassment is filed.

The complainant must select a member of the standing board to act as mediator. A board member who judges that a complaint does not warrant mediation may decline a request to mediate. Likewise, a board member who considers himself or herself unsuitable to act as a mediator shall identify another member of the board for the complainant who will be willing to serve as mediator. (A board member may decline to serve as mediator because of his or her particular relation to the person against whom the complaint is lodged, after explaining this to the complainant and obtaining permission of the complainant to talk with other standing members of the board about the case.)

A person seeking mediation must agree to be identified to the person against whom the complaint is lodged. The mediator shall begin mediation efforts promptly, and shall report the results of mediation promptly to the complainant.

A mediator may talk about a specific case with other members of the board only with the permission of the complainant, and will identify the person against whom the complaint is lodged only if the complainant agrees

to be identified. A mediator may also discuss a case with the chairperson of the board and/or with the appropriate Officer of the College, although only with the mutual consent of the complainant and the person against whom the complaint is brought.

When mediation does not resolve the issue to the satisfaction of the complainant, the complainant may lodge a formal complaint with the Sexual Harassment Hearing Board.

f. Formal Complaints

Individuals who wish to lodge a formal complaint may do so until up to thirty days after the conclusion of mediation.

A person who wishes to lodge a formal complaint should contact the chairperson of the Sexual Harassment Hearing Board. A formal complaint must be lodged in writing and be accompanied by a signed statement detailing the complaint. The complainant shall submit the statement of complaint to the chairperson of the board, who shall give copies of it to the person complained against and to members of the Hearing Board. If the complaint has no merit as judged by the board's objective standards, the board may refuse to investigate further, and the case is dropped.

The chairperson shall next provide copies of the complaint to the appropriate College officer: a complaint against a student to the Dean of Students, a complaint against a faculty member to the Dean of Faculty, and a complaint against another employee or a third party to the appropriate officer of the College. The officer may, upon request of either party, try to separate the working, living or academic arrangements of the complainant and the accused.

When a formal complaint is filed, the person accused of sexual harassment will be invited to submit a written response to the complaint. However, a formal reply is not required, and no adverse conclusions will be drawn if a formal reply is not provided. The chairperson of the board shall give copies of the response, if any, to the complainant, the officer of the College dealing with the complaint, and to the other members of the Hearing Board.

g. The Hearing

The complaint shall be heard by the Sexual Harassment Hearing Board, of whom *at least* three must be present to constitute a hearing, including one named by the complainant, one by the individual against whom

the complaint is made, one by the College's personnel officer, and the chairperson of the committee.

At the hearing, either party has the right to be accompanied by and/or represented by a counselor of his or her choosing, who is a member of the College community; a counselor may advise the complainant or the accused, but may not participate directly in the hearing.

The Hearing Board shall interview the parties together so that there is an opportunity to discuss all allegations., The Hearing Board shall decide what further evidence or witnesses are necessary before reaching the final determination.

The Hearing Board shall be guided by the following standard in determining whether a complaint of alleged sexual harassment has merit: the conduct complained of must be offensive to an average individual in the same or similar working environment.

Both parties shall have an opportunity to hear all witnesses and review all further evidence received by the Hearing Board. The Hearing Board shall retire to an executive session to reach its determination as to the presence of sexual harassment. It will present its findings in writing within one week of concluding its deliberations to the officer(s) of the College who supervises the individual(s) involved, with copies to those individuals.

h. Appropriate Discipline

The officer of the College and the Hearing Board shall together talk with both the complainant and the person against whom the complaint has been lodged.

After talking with the complainant and the accused, the officer of the College, in consultation with the Hearing Board, shall take the action judged to be appropriate.

After acting, the officer shall prepare a written statement outlining the action taken, and shall give copies of this statement to the complainant, the accused, and members of the Hearing Board.

Written records of sexual harassment complaints and the investigation of those complaints will be retained in accordance with applicable regulations, but only on a confidential basis and will be separated from other personnel or student records.

Normally officers of the College and board members may discuss a formal complaint identifying individuals only with other officers of the College and members of the board, the complainant, and the person against whom the complaint is lodged. If it seems appropriate for an officer of the College or a member of the board to discuss a complaint with other members of the community, he or she may do so only with the approval of the board.

i. Annual Report

At the beginning of each academic year, the board shall report on the previous year's activities. Its report shall include the number of individuals who came to board members for help during the past year, the number of requests for mediation, the number of formal complaints that were lodged, and the kinds of behavior that gave rise to complaints. The board shall submit its report to the President, who shall publicize it to the College community. The report shall not mention the name of any individual or identifying details of any case.

D. MISCELLANEOUS EMPLOYMENT REGULATIONS

1. ADDITIONAL EMPLOYMENT

(Faculty Meeting, February 14, 1978; amended December 7, 1983)

A full-time faculty member may not accept regular employment outside Lake Forest College during the academic year without prior written consent of the Dean of the Faculty. Normally, permission to accept such employment will be given only if the work is in the interests of Lake Forest College. This policy is not intended to discourage a member of the faculty from receiving fees or honoraria for a limited involvement in activities such as consulting, lecturing, counseling, creating art works, stage performing, or writing, but is intended to proscribe continuing remunerative activities that do not benefit the College and that consume a significant amount of a faculty member's time during the academic year.

2. USE OF CAMPUS FACILITIES

(Board of Trustees, March 11, 1978)

College offices, laboratories, and classrooms may not be used to provide on-campus services to any person from whom payment to an individual is anticipated without the written consent of the Dean of Faculty or Business Manager, which must be renewed annually.

Faculty and staff of the College may not use College facilities or College personnel for any purpose in connection with a private counseling or clinical practice.

3. LEAVES OF ABSENCE

Leaves of absence for up to one year will not ordinarily affect normal consideration of a faculty member for a salary increase or for promotion. If an exception to these policies is to occur, notice of such exception must be given to the faculty member in writing at the time the leave of absence is granted. For the policy regarding leaves of absence for non-tenured faculty, see I,D,6.

4. SABBATICAL LEAVES

(Board of Trustees, September 14, 1974; amended Faculty Meeting, March 6, 1979; amended Board of Trustees, May 6, 1988; February 17, 1989)

Tenured members of the teaching faculty at Lake Forest College are eligible to apply for sabbatical leave, though eligibility is not in itself a guarantee that leaves will be granted. Considerations affecting the granting of leaves--which should be addressed in the application for sabbatical--include the following: (a) the specific purpose(s) for which the leave is to be used with details respecting research, writing, creative endeavor, or study; (b) the expected fruits of sabbatical work; (c) the value of the sabbatical program to (i) the applicant's professional development and (ii) the College; (d) the relation to any previous sabbatical, namely, length of time elapsed since an earlier leave and the results of that sabbatical as evidenced in the report submitted at that time and, if applicable, in subsequent activity; and (e) the degree to which the department and the College can carry on an adequate program in the absence of the applicant. These considerations are designed to ensure appropriate planning in advance and clear accountability afterwards. In nature and form, therefore, applications for sabbatical leave should follow the model of proposals to external funding agencies; and indeed applicants are urged to seek outside supplementary grants at the same time they apply for sabbaticals.

Faculty members on sabbatical are expected to pursue the proposals for which the leave was granted. If a change in plans becomes necessary, the reasons must be stated and a revised proposal must be submitted to the Dean for approval. No later than one month into the semester following the completion of a sabbatical, recipients must prepare a report for the Dean indicating the progress made toward fulfilling the sabbatical projections. These reports become a part of the faculty member's records to be considered (a) in evaluating total performance, and (b) in judging future sabbatical requests.

Sabbatical leaves are awarded in expectation of future benefits to the College through teaching and research. Therefore, a leave may be taken only if the faculty member expects to return to the College the academic year following the leave.

Applications, accompanied by a statement by the Department Chair on the impact of the proposed sabbatical on the department, must be submitted to the Dean of the Faculty for review by the Faculty Personnel Policies Committee, which makes recommendations to the President, by November 1 of the year prior to the academic year for which the leave is proposed. Leaves may be granted according to any of the following programs:

- a. After three years of full-time teaching, or its equivalent in part-time teaching, at Lake Forest College, a leave of one term at three-quarter salary. A faculty member who takes this option must carry a full teaching load for the remainder of the academic year in which the leave falls.
- b. After six years of full-time teaching, or its equivalent in part-time teaching, at Lake Forest College:
 - i. a leave of a year at three-quarter salary.
 - ii. a leave of one term at full salary.

Faculty who choose this option and who must delay their sabbaticals one or more years because of departmental or college needs may choose one of the following options:

- i. the amount of time delayed (up to three years) may be applied to eligibility for the subsequent sabbatical; for example, a faculty member who must delay a sabbatical one year will be eligible for the following sabbatical after five years of full-time teaching, or its equivalent in part-time teaching, at Lake Forest College. Three years of full-time teaching, or its equivalent in part-time teaching, must separate any two sabbaticals.
- ii. the amount of time delayed may be translated into a sabbatical salary increment as follows:
 - (a) one year delayed: 5/6 of salary
 - (b) two years delayed: 11/12 of salary
- c. After nine years of full-time teaching, or its equivalent in part-time teaching, at Lake Forest College, a leave of one year at full salary.

The Faculty Personnel Policies Committee must determine when departmental or college needs require a delay. Departments and individuals are required to plan in advance to prevent sabbatical scheduling conflicts among eligible individuals.

On occasion, sabbatical credit for part-time administrative duties and off-campus teaching may be granted by the Faculty Personnel Policies Committee at the time that release from teaching is granted, if the committee deems the project or duties to have sufficiently broad benefits to College programs.

The contribution of the College to T.I.A.A. while a faculty member is on sabbatical leave of absence is based on the salary actually paid to the faculty member rather than on the salary that would have been received without the leave. All other benefits are paid in full.

A member of the faculty on sabbatical leave is not permitted to accept for the nine-month College year total earnings in salary and grants in excess of the full salary that would have been earned if the faculty member were teaching at the College rather than being on sabbatical leave. If salary or grant funds would exceed the "full" salary that would be earned in residence, the amount contributed by Lake Forest College will be reduced so that the total income does not exceed "full" salary. Expenses necessary for the project may be deducted from a research grant before computing total earnings.

Ordinarily a faculty member on sabbatical leave is not permitted to teach at another college or university, but in unusual circumstances permission may be requested to accept such employment while on sabbatical leave provided it is for not more than one-fourth time and that the salary from the other college is not more than one-fourth of the salary which would have been received from Lake Forest College that year for teaching full time. The project expense exemption does not apply in this case. For example, a faculty member on sabbatical will not be allowed to earn more for teaching in order to cover travel expenses to the college or university where the part-time teaching has been undertaken.

5. MATERNITY LEAVE POLICY*

(On May 6, 1988, the Board of Trustees approved the following Maternity Leave Policy; amended September 1988; amended May 12, 1989.)

- * Refer to the next heading for the policy on leaves for child care purposes.

Committed to a diverse faculty, Lake Forest College has adopted the following maternity leave policy to enable the College to hire and retain qualified personnel on the faculty:

- a. A full-time teaching faculty member will be entitled to a paid leave in the case of the birth, or adoption of a newborn child, where the faculty member is the primary caretaker of the child. The College may require appropriate documentation to support the leave request.

i. The faculty member may take a leave of absence for a full semester and receive three-quarter salary for the year with full medical benefits plus all other benefits for which the faculty member qualifies, pro-rated accordingly. The faculty member may elect to receive salary in one of the following patterns:

- (a) Half-salary for six months and full salary for the other six months; or
- (b) Three-quarter salary for the full year.

(Under this form of leave, the faculty member may be replaced within the department for the term of the leave.)

ii. The faculty member may also elect the option to teach five courses over the academic year, (or their equivalent for the natural sciences) while continuing non-classroom activities such as advising and receive full salary and medical benefits.

iii. A female faculty member may also take a medical leave of absence from her position. In accordance with current policy, pregnancy and childbirth, and recovery therefrom, are regarded as "temporary disabilities." Full pay will be provided for such medical disabilities for up to 90 days. If the disability continues beyond the 90 day period, the individual will receive compensation in accordance with long-term disability insurance. The determination of the length of time an employee will require for leave is a medical decision between that individual and her physician.

(Under this form, the faculty member will not be replaced within her department.)

b. Any faculty member who takes a maternity or newborn child care leave within his/her tenure probationary period may choose to exclude that year from countable service toward tenure. This exclusion must be requested prior to the beginning of the academic year following exercise of option i, ii, or iii, and may be taken no more than two times.

c. To assure the adequacy of the academic program, faculty members expecting to require such leave should confer with their department chairperson as early as possible.

6. LEAVES WITHOUT PAY

(Amended by the Board of Trustees, May 15, 1981, amended by policy change, September 1988)

In addition, leaves of absence without salary may be granted upon application if the intended use of the leave seems to be in the best interests of the College as well as the faculty member and if a suitable replacement can be found. The College pays no benefits for a faculty member on leave of absence without salary, except that faculty members receiving income from the College's long-term disability insurance plan are eligible for the tuition benefit for their dependent children at Lake Forest College only, subject to the same limitations and requirements stated for the tuition benefit for a teaching faculty member.

While on an educational leave of absence, other than sabbatical, an eligible employee may elect to continue coverage in the group major medical plan for up to two years. In these circumstances life insurance coverage must be based on the College's "assumed earnings" figure which would be the salary the employee would have earned had he or she not taken the leave and continued to work directly for the College. Life insurance will *not* be based on the earnings the employee receives from the grantor. In order to enact this coverage the employee must notify Personnel in writing within 31 days of the commencement of the leave and agree to reimburse the College for the premiums payable where applicable or to have the grantor submit the premiums to the College.³ Long term disability insurance is not available while on a leave without pay.

Leaves of absence for child care purposes are considered leaves without salary; such leaves must be requested as early as possible, for periods of time concurrent with an academic term.

Leaves without pay should not exceed one academic year in length or extend over parts of two succeeding academic years, nor come more frequently than once in three years. Exceptions to this rule are possible for such purposes as public service.

E. FACULTY SALARIES AND FRINGE BENEFITS

1. FACULTY SALARIES

³ Policy amended by the Lincoln National Life Insurance Company, September 1, 1979.

Salaries of full-time members of the teaching faculty are paid in twelve equal installments, always on the first business day of each month, beginning with September. Salary checks are placed in campus mail boxes unless the Business Office is instructed otherwise. It is customary to send to each faculty member written notice of the salary for the coming year following the spring meeting of the Board of Trustees, at which time the budget for the next year is approved.

2. RETIREMENT INCOME

(Amended September 1, 1987; January 1, 1989)

The College provides a retirement program through the Teachers' Insurance and Annuity Association. The following provisions apply:

All faculty teaching three or more courses per academic year, and all professional personnel employed half-time or more, after completion of two years of service and twenty-one years of age, are eligible for participation in the T.I.A.A.-C.R.E.F. retirement program.

Lake Forest College makes the entire required contribution to the T.I.A.A.-C.R.E.F. for eligible members. Full-time members of the faculty may make an additional contribution from their salaries through a salary "reduction" plan. "Salary Reduction Annuity" is a form of contract for employees who want to set aside tax deferred funds over and above amounts being accumulated under their institution's basic retirement plan. Information about this option may be obtained from the Personnel Office.

The College's contribution is 10% of the annual salary for all eligible participants.

3. INSURANCE PROGRAM - FULL-TIME EMPLOYEES

(Amended by Board of Trustees, March 7, 1981)

a. The health insurance premium for an employee and his or her immediate family is paid by the College. After 9/1/86 terminated employees, faculty on leaves without pay, and/or dependents of insured employees ineligible for continued coverage due to age, divorce, or death may elect to continue coverage at their own expense at 102% of current premium. Length of continuation is determined by law and circumstances of ineligibility. Details of the insurance plan are published in a special booklet available at the Personnel Office. (Subject to change, September, 1991.)

b. Life insurance and accidental death and dismemberment benefits in the amount of one and one-half times salary to maximum of \$300,000 is carried by the College at no cost to the employee.

c. A long-term disability insurance plan for all employees of the College is provided. This fringe benefit provides income on a graduated scale (consult your copy of "Your LTD Income Benefits," p. 2) for total disability after 90 days from the beginning of the disability. The premium will be paid by the College. The insurance company pays 66-2/3% of the monthly salary, coordinated with Social Security Disability Benefits, up to a maximum of \$3,000 of payment per month during the period of disability. The T.I.A.A.-C.R.E.F. premium currently being paid by the College is paid by the insurance company to a maximum of \$800.00 per month, provided the employee is then on the T.I.A.A.-C.R.E.F. plan.

4. **MOVING EXPENSES**

(Approved by Board of Trustees, December 13, 1986)

The College will reimburse a full-time faculty member for part of the moving expenses incurred during the initial move from the faculty member's former principal place of residence to Lake Forest in connection with a new appointment at the College. The cost of moving normal household goods and books, but not special costs for moving pets, will be considered. It is recommended that sending books by mail be considered as a less expensive alternative. The College will not reimburse faculty members for travel and/or lodging and meal expenses for themselves or any member of their family during the move. Reimbursement will be actual costs, not to exceed the maximum determined by distance of residence to Lake Forest, as follows:

<u>Air Miles</u>	<u>Maximum Benefit⁴</u>
less than	
250	\$500.00
500	1,000.00
750	1,500.00
1,000	2,000.00
1,500	3,000.00
over 1,500	3,500.00

⁴ The dollar amount of the benefit is subject to annual review and may be changed by the President.

When a faculty member accomplishes the moving by renting a commercial truck or trailer, the following items may be included in the total moving expense: rental of truck or trailer, gasoline, reasonable labor costs for loading and unloading, and reasonable costs of packaging materials. The College will not be responsible for any loss or damage.

The College will not reimburse for storage costs. Reimbursement for moving expenses is generally taxable income and is reported as such by the College to the Internal Revenue Service.

5. ATTENDANCE AT PROFESSIONAL MEETINGS

(Amended by the President upon recommendation of FPPC, September, 1981, November 1987, September 1988)

The College encourages attendance at professional meetings and will compensate for expenses incurred, provided the following guidelines are met:

a. Eligibility

- i. Full-time faculty members on a continuing or tenured appointment, provided they carry at least a half-time teaching load, may receive compensation for major expenses incurred while attending one professional meeting in a given appointment year. There will be no compensation if a faculty member's appointment is temporary (one year or less) in nature.
- ii. Faculty members are eligible during a year when they have a sabbatical, whether the sabbatical is for half a year or a full year. Faculty members on other kinds of leaves are not eligible whatever the length of absence.
- iii. Other teaching faculty are not eligible unless the Dean of Faculty determines that their attendance at a meeting is clearly to the benefit of the College.

b. Travel Compensation

In order to keep the total costs of attendance at professional meetings and conferences within the budget allocation for a given year, the Dean of the Faculty will decide at the beginning of the academic year whether 100% or some lower percentage of the figure calculated according to the guidelines will be paid.

Faculty shall be reimbursed for actual charges incurred in travel as follows:

- i. For hotel accommodations up to \$70.00 per day, with a four-day maximum.
- ii. For travel
 - (a) by air, at no more than the lowest reasonable fare, with ground transportation costs excluded except in unusual circumstances;
 - (b) by automobile, at the rate established by the IRS for previous year for the owner of the vehicle, not to exceed the lowest reasonable air fare;
 - (c) by train, at a ticket cost plus meals on the train, not to exceed the lowest reasonable air fare.

Note: To assure compensation at the maximum rate for all attending professional meetings, FACULTY ARE EXPECTED TO MAKE TRAVEL ARRANGEMENTS SUFFICIENTLY IN ADVANCE IN ORDER TO TAKE ADVANTAGE OF THE LOWEST REASONABLE AIR FARE AND SPECIAL FLIGHT AND ACCOMMODATION RATES. If substantially lower fares are obtained by staying longer (for example, Saturday night), reimbursement for the hotel will be made if there is a net savings to Lake Forest College.

Travel accident insurance is provided for all active full- and part-time officers, department heads, and faculty members through an ACM group policy. It covers death, dismemberment and disability resulting from an accident while traveling on behalf of the College. Your group insurance beneficiary applies. A copy of the policy is in the Business Office. Benefit level is two times base salary, with a minimum coverage of \$50,000, and a maximum coverage of \$300,000.

c. Travel Outside Continental United States

A faculty member may receive compensation for attending a meeting outside the continental United States once every three years. In such cases, the faculty member will be allowed travel compensation not to exceed \$700 toward the cost of transportation; the restriction of a maximum of \$70.00 for hotel accommodations for up to four days will apply. Travel to conferences in Canada is regarded as domestic rather than foreign travel.

d. Procedures

The Dean of the Faculty's office provides forms to be used for requesting compensation for travel costs. Documentation of expenses incurred must be attached. Faculty members who wish to charge the purchase of air or rail tickets for trips that fall under the above guidelines must pick up a signed purchase requisition in the office of the Dean of the Faculty. The Lake Forest travel agencies will honor such requisitions. If tickets are purchased at travel agencies elsewhere, reimbursement can be made only after submission of all expense documents.

6. SUMMER RESEARCH GRANTS

Summer research grants to cover the costs of research are available to full-time instructors and assistant professors (not on tenure). Application must be made by a designated time preceding the summer during which the grant is to be used. Eligibility for a grant is not a guarantee that a grant will be awarded, since budget limitations may prevent awarding grants to all applicants.

Summer research grants, even though awarded several months before their effective date, are canceled for persons who resign effective on or before August 31 of the summer during which the grant would have been used. Any faculty member who resigns after the receipt of such a grant and who will not be continuing on the faculty at the beginning of the new academic year will be required to refund the full amount of the grant.

7. INDIRECT COSTS POLICY

(Adopted by Administration, with FPPC approval, and accepted by the Board of Trustees on May 11, 1990)

Indirect costs are those costs incurred for the general support and management of sponsored activities but that cannot be directly attributed to a particular activity. In essence, a funding agency pays for the use of an institution's facilities.

Indirect costs are computed costs and allowed as a percentage of "direct salaries and wages including vacation, holiday, and sick pay but excluding other fringe benefits." This rate, at 77% through May 31, 1990 and increasing to 80% through May 31, 1995, is approved by the Department of Health and Human Services as a result of a proposal prepared by the Vice President for Business Affairs in accordance with specific rules and regulations. "Gray areas," those not precisely defined as direct or indirect operating costs, are negotiated by the Federal reviewer and the Vice President. It has been the policy at Lake Forest to concur with the reviewer in reducing indirect costs, thereby reducing the rate.

In an effort to encourage research, the following policy is proposed for fiscal 90-91 (i.e. grants -- new or renewals -- that have a starting date on or after 6/1/90): for those grants awarded the full indirect cost rate of 80%, 75% of the awarded indirect costs will be allocated to the College's general revenues and 25% will be allocated for the general use of the department. These funds may be used for equipment, travel, personnel, etc. and such determination will be made by the Dean of the Faculty, Chairperson of the department, and the grantee. Such expenditures must be all inclusive, i.e., all personnel fringe benefits must be included. For those grants awarded less than the full indirect cost rate, the grantee's 25% allocation is depleted first. In other words, the lower negotiated rate is not shared on a prorated basis by the grantee and the College, but borne by the grantee. All grants with lower than negotiated rates must be approved by the Dean of the Faculty and the Vice President for Business Affairs.

8. CAPS AND GOWNS

The College provides faculty with caps and gowns (but not hoods) which may be kept as long as faculty remain at the College.

9. EDUCATIONAL BENEFIT

(Amended by the Board of Trustees, May 15, 1981; December 10, 1983; December 13, 1986; May 12, 1989)

The purpose of the education benefit program at Lake Forest College is to assist employees and their dependents in obtaining their first Baccalaureate Degree.

Lake Forest College will contribute toward the costs of college tuition, at colleges and universities other than Lake Forest, of dependent children of full-time faculty members. The contribution is the actual cost of tuition up to a maximum of 30% of the college's tuition, per fiscal year, subject to review every three years. No contribution will be made to cover costs not included in the comparable charge to other students who attend Lake Forest College. This means that room, board, student insurance, activity fees, and like items are excluded. Payment is made directly to the college or university in which the son or daughter is enrolling once the Business Office has been provided the appropriate billing statement.

Spouse and dependent children of full-time faculty members will receive the tuition benefit in regular undergraduate classes at Lake Forest College until the first Baccalaureate Degree is obtained, or the benefit has been provided for the equivalent of four academic years as a full-time student, whichever time is less.

A dependent's eligibility for the educational benefit is limited to four academic years of undergraduate work, or until a Baccalaureate Degree has been awarded, whichever is less. If such benefit is to be used at Lake Forest College the

regular admission requirements of the College must be satisfied as a prerequisite to the utilization of this benefit. Graduate or professional study for a dependent will not be subsidized. At Lake Forest College the dependent will be charged an admission application fee, the student activity fee, and clinic fee. If the dependent elects to be a resident student, room and board will be charged as with all such students and the appropriate room deposit will be required. *Under no circumstance will the tuition benefit be available beyond the equivalent of four academic years of study (tuition benefit to mean either support paid to another college or tuition remission at Lake Forest College).* Such eligibility is defined as 8 semesters or twelve quarters. When a dependent attends more than one institution, his or her remaining eligibility is determined by the proportional sum remaining from the limits defined above.

Faculty members need to consider carefully whether or not they wish to use this benefit for a dependent's attendance in summer school. At most institutions the definition of a full-time student during the summer is considerably different than in the academic year. If a dependent who is receiving benefit support at another college or university attends Lake Forest College during the summer, the tuition benefit afforded the attending student will be pro-rated against his/her tuition benefit for the next academic year (e.g., taking 1 course will mean the student's tuition benefit for the next academic year will be 7/8 the academic year benefit).

To encourage both faculty members and spouses with a Baccalaureate Degree to enroll in undergraduate courses at Lake Forest College, the audit benefit will be provided such individuals provided space is available in the class. Private lessons, workshops, tutorials, and independent study are not included, nor is any course work leading to an M/LS degree.

The tuition benefit as described above ceases upon retirement of the faculty member or upon death or total disability of the faculty member before retirement. However, if death occurs during an academic year the benefit will continue for the remainder of the academic year. Further, if the faculty member has served the College for seven full years as a full-time faculty member, children who were claimed as his/her dependents in the taxable year preceding death and who were in Grade 7 or higher at the time of the death will be eligible for the benefit *at Lake Forest College*, subject to the same limitations and requirements stated for the tuition benefit to faculty who are not retired.

It will be *the obligation of faculty members* to make application for their spouses and children for the monetary award from the Illinois State Scholarship Commission in all cases when attendance at Lake Forest College is anticipated. This application must be made on a yearly basis and the established deadline must be met. Such dependents are eligible for that portion of tuition and mandatory fees not covered by a monetary award from ISSC.

The faculty member will be required to certify, in writing, that the son, daughter or spouse was claimed as a dependent for the taxable year prior to the term of enrollment *and will be claimed in the calendar years in which enrollment takes place*. Eligible employees of the College may be asked to submit the appropriate 1040 form for verification of eligibility.

Applications for this benefit are due by March 1 each year.

10. COLLEGE HOUSING

(Amended September 1, 1987; September 1988; December 1989)

a. The College attempts to provide housing for all newly-appointed full-time members of the faculty. When such housing is not available, in order to encourage newly-appointed full-time faculty to live near the College, it provides a monthly subsidy for such individuals providing they reside within a defined geographic area; such a subsidy is provided only so long as no college housing exists or until the faculty member would otherwise no longer be eligible for college housing. Refusal of College housing negates the subsidy.

b. When full-time members of the teaching faculty are notified of the decision to grant tenure, or in the case of appointments initially at the associate professor level or above, of the decision not to make the fourth year appointment a terminal one, they shall also be given notice to vacate College housing by the end of the contract year following that in which the above decision is made.

c. Full-time members of the non-teaching faculty and teaching faculty not eligible for tenure are eligible for College housing, but may reside in such housing for a maximum of four years.

d. Eligible faculty may expect to remain in College housing for a minimum of four years. If necessary to vacate under the rules above, notice will be given at the end of the third year.

e. Certain houses and apartments may be set aside for the use of faculty and/or administrators whom the College administration, after consultation with the Faculty Personnel Policies Committee, determines should live on or near the campus because of their particular duties.

f. A person seeking College housing or desiring a change in housing shall fill out the standard housing request form and submit it to the College Personnel Officer, who shall keep a file of applications in the order in which they are received. That file will be available for inspection by those who are

applying for College housing. The College Housing Committee, consisting of a representative of the administration designated by the President, the Dean of Faculty or a representative from the staff selected by the Dean, and at least one member of the Subcommittee on Promotion and Tenure, will determine the priority of assignment when factors other than the order of request are to be taken into consideration. The College reserves the right to assign tenants to specific units on an annual basis in accordance with each year's housing requests and needs as defined by policy.

g. Housing assignments

- i. The College Housing Committee will assign available housing by June 1 to eligible faculty on the list. Remaining units, if any, will be held for late faculty appointments, if any, until July 1, and then assigned to those ineligible for housing irrespective of any applications that might be expected after that date;
- ii. Eligible faculty receiving a rent subsidy will automatically be placed at the top of the housing list. If more than one individual is so listed they will be housed in the original order;
- iii. Family size will always be considered in housing allocation and if families applying for similar housing are identical in size, order of application will be decisive;
- iv. Neither seniority nor base salary will be a factor in the committee's decisions;
- v. Applications will not remain in the active file after August 31. Applications for the next year are accepted on or after September 1.

h. Whenever College housing cannot all be filled by eligible members of the faculty, the College Housing Committee will assign units to those who are technically ineligible for College housing for no longer than the current lease year. Among the deciding factors which the committee will apply in determining who should be given preference in these instances will be the total salary of the applying faculty or staff plus dependents, the size of available housing units, and the length of previous stay in College housing.

i. Should College housing not be available after July 1 for newly hired eligible faculty, the College will provide a taxable subsidy for rental housing located in a prescribed geographic area (as of July 1, 1989, the subsidy is \$200 for the area defined by the Lake Forest High School District and \$160 for the

area outside the District but bounded by Wadsworth Road, Hunt Club Road and Milburn Road on the North, Routes 45 and 83 on the West, and Lake-Cook Road on the South).

j. The normal term of lease is from June 1 through May 31. In the event that a faculty or staff member who is renting from the College purchases housing, the lease may be shorter. Such requests should be made to the College Personnel Officer as soon as possible, but not later than thirty days prior to the desired date for terminating the lease.

k. College housing may not be sublet during the academic year.

l. At least once a year, a meeting will be scheduled between residents of College housing and the administration to consider topics of mutual interest.

11. FACULTY-STAFF SECOND MORTGAGE POLICY

(Board of Trustees, May 22, 1980; May 11, 1984; May 12, 1989; September 22, 1989)

At its meeting of May 22, 1980, the Executive Committee of the Board of Trustees approved a Second Mortgage Policy which provides an incentive for full-time tenured members of the faculty, when purchasing housing, to locate within the local area. This policy was amended on May 12, 1989, and September 22, 1989, extending the eligibility to include faculty who, as a result of the Third-Year Review, have been given continuing appointments at the College and who have been approved for a mortgage by the President. Interested eligible faculty should make application for such funds to the Business Manager.

The conditions of this policy are as follows:

PURPOSE - To encourage tenured, full-time teaching faculty, Officers of the College and such senior administrators as may be declared eligible by the President, to live close to the College in order to foster frequent participation in all College functions. First-time purchasers in the "area" defined below are specifically but not exclusively eligible; such second mortgages are not provided for repurchase or "rolling over" of real estate, but may be provided to eligible individuals who once owned property within the "area" but who did not own such property at the time of the effective date of this policy.

AMOUNT - Not to exceed the lower of 25% of the purchase price or \$50,000. The combination of all mortgages on the property may not exceed 90% of the purchase price.

INTEREST RATE - No points. Dividend and interest rate of return on the managed Endowment portfolio, based on the most recent audit, computed at that year-end on market value. Interest rate subject to revision at College's option, every five years based on the above referenced average.

TERM - Same as the first mortgage, but must be paid off within one year after the faculty member or the administrator leaves the employ of the College.

AREA - Applies only to houses purchased in a defined area, bounded by Wadsworth Road, Hunt Club Road, and Milburn on the North; Routes 45 and 83 on the West; and Lake-Cook Road on the South.

OCCUPANCY - Must be occupied by the mortgagee. If not so occupied for one year the mortgage is due at the end of that year.

PAYMENTS - Through regular monthly salary deductions.

FINANCIAL STATEMENT - A proper financial statement must be submitted to the Business Office for review prior to Investment Committee approval.

APPROVAL - By action of the Investment Committee, which holds final authority to grant or deny approval.

FUNDS AVAILABLE - College unrestricted Endowment funds of up to \$500,000 may be used to finance such mortgages.

REVIEW OBLIGATION - This policy is subject to a review after five years or when authorized funding is expended.

EFFECTIVE DATE - The effective date of this policy is June 1, 1980, for eligible faculty and June 1, 1984, for other eligible individuals. This policy supersedes and replaces the Second Mortgage Policy in effect at the time of its passage and shall be the only Second Mortgage policy of the College. (See Finance Committee Minutes, December 18, 1975, for statement of previous policy.)

12. LEISURE USE OF COLLEGE FACILITIES

Members of the faculty, their spouses and children are encouraged to use the library and its facilities, the Sports Center at designated hours, and Commonplace for fast foods and meeting students.

In addition, most activities of the College are available to faculty and their immediate families without charge. These include athletic events, lectures, discussions, concerts, films, and dramatic presentations.

SECTION II

FACULTY ACADEMIC AND ADMINISTRATIVE POLICIES

A. FACULTY ACADEMIC POLICIES

1. FACULTY RESPONSIBILITIES (Amended September 1, 1987)

The appointment year of the teaching faculty extends from September 1 to the following August 31; teaching responsibilities, in general, extend from September through commencement. Faculty are expected to participate in the first scheduled events each fall and at commencement activities each spring unless excused by the Dean of the Faculty.

The Bylaws of Lake Forest College contain the following statement of faculty responsibility:

It shall be the responsibility of each member of the faculty to teach those courses assigned to him or her as effectively as possible, giving the imagination wide range in order to find the techniques of instruction best suited to the particular course and engaging in reading and study designed to improve the quality of the teaching and to increase the instructor's own knowledge. A member of the faculty shall not appoint anyone to perform his or her duties in the classroom without the approval, in each case, of the President or the Dean of the Faculty.

2. TEACHING LOADS AND FACULTY TIME (The Faculty Personnel Policies Committee drew up the following guidelines on February 8, 1979; policy recommended at Faculty Meeting of March 6, 1979)

a. Course Load

Each faculty member is expected to teach six courses per year in addition to directing a reasonable number of independent studies. In cases involving laboratory work, the equivalent course credit is calculated by taking one fourth of the total number of class and laboratory hours per week.

Affirming the importance of teach teaching at Lake Forest, the faculty authorizes up to two, team-taught undergraduate courses per year, with full teaching credit given to two instructors, to be selected by the Academic Policies Committee with the concurrence of the chairs of the affected departments and according to criteria determined and published by the committee. (Amended by the Faculty, April 6, 1988.)

b. Additional Faculty Responsibilities

Faculty members have many responsibilities beyond spending time in the classroom and laboratory. Full-time faculty members are expected to use the time not scheduled for classes to prepare for their classes; meet with and counsel students; participate in the life of the College through its committee system and its co-curricular activities; study and do research; be available to meet with colleagues to discuss issues of common concern and to foster a sense of intellectual community at the College. It is vital to the special mission of the College that the faculty be deeply involved in the affairs of the institution, and that they be readily available to students for help, advice, and encouragement. (Amended by the Faculty February 4, 1981.)

3. ADMINISTRATIVE DUTIES

Depending on the amount of administrative responsibility, a chairperson may, upon consultation with the Dean, reduce his or her teaching load by up to one course per year. (FPPC, March 2 and 16, 1979)

4. COMMITTEE SERVICE

Every full-time faculty member is expected to serve, if asked, on one standing or ad hoc committee of the faculty and may be expected to serve, in addition, on one of the committees overseeing interdisciplinary concentrations. Since committees vary in the amount of time and work required, an effort will be made to equalize this kind of responsibility over a period of time.

5. STUDENT ADVISING

Each faculty member is expected to serve as academic advisor to an as nearly proportionate share of the student body as is possible. A faculty member whose official list of advisees exceeds a proportionate share by more than one-third will be considered to be carrying an overload of advisees, and some adjustment will be made either by reducing the advising load in a subsequent year or by a reduction in the normal load in some other kind of activity.

6. RESEARCH

Research and other scholarly work are expected to be a normal part of each faculty member's load.

7. INVENTION AND PATENT POLICY

The College faculty and Trustees have approved a College Invention and Patent Policy which requires all faculty, staff, and students who participate either alone or in association with others in inventions or discoveries to disclose promptly such inventions or discoveries to the President provided the College time, facilities, or materials were used in connection therewith. In addition, the College has contracted with Research Corporation for the marketing of such inventions as the College desires to assign to it. Any faculty member who believes he/she or a student might be affected should request a full statement of the College Patent Policy from the Office of the Dean of Faculty.

8. TEACHING REGULATIONS

a. Class Syllabi

It is expected that every faculty member will work out carefully and give to the students early in the term a detailed syllabus outlining the objectives and the assignment schedule of the courses. (See 8.c., "Class Attendance," for information regarding the establishment of specific attendance requirements.)

b. Class Meetings

The following policy was adopted by the Faculty Personnel Policies Committee February 21, 1977:

It is expected that except for the instructor's illness, professional activity, or personal emergency, classes will meet regularly at the scheduled time. Anticipated absences of a faculty member from the class are to be reported to the department chairperson or the Dean of the Faculty if the chairperson cannot be reached.

In any case of absence of a faculty member from a class because of professional activity, it is College policy that adequate arrangements be made so that actual class time not be lost.

Should professional activity require a faculty member to be away from campus for a week or more while classes are in session, the Dean of

the Faculty must be fully apprised of the timing and nature of the activity beforehand.

Promptness in beginning and dismissing classes is important in maintaining the schedule.

c. Class Attendance
(Faculty Meeting of April 3, 1979)

Because classroom activities--lectures, discussions, questions and answers--assist students in the learning experience, it is normally expected that students will attend class sessions. Each member of the faculty has the prerogative of establishing specific attendance regulations which, in the instructor's opinion, are best suited to the course. To be in force these regulations must be given in writing to the members of the class at the beginning of the course. Instructors are at liberty, however, to waive their stated attendance requirements at their discretion, in individual cases, taking care to be consistent and fair. It is recommended that faculty encourage students to ask permission in advance of intended absences.

Students who miss class meetings because of participation in a "College-approved event"--so designated by the Dean of Faculty--are officially excused but will be expected to make up any work missed and will be allowed to do so in a manner approved by the faculty member whose class is missed. If, in the judgment of the instructor, making up the work missed is not feasible, the student may not be penalized for the absence from the class.

d. Examinations
(Also see Statement on Academic Honesty)

On November 2, 1983, the Faculty approved the Statement on Academic Honesty, which states in part, "No test may be given prior to its originally designated time. The Dean of the Faculty may grant exception to this rule at the request of the faculty member."

Faculty will be expected to give a final examination in each course unless the nature of the course dictates otherwise. A faculty member who decides that a final examination will not be appropriate to a particular course should notify the head of the department well in advance of the examination period and give the reasons for the action. If a final term paper is to take the place of a final examination in a course, the students are entitled to have until the end of the scheduled time for the examination to submit their term papers. (Amended, Faculty Meeting, March 4, 1980)

As part of the above-mentioned Statement on Academic Honesty, the faculty passed the following regulation regarding final examinations: "An instructor who returns a final examination to students must send a copy of the examination to the library, which must retain it for three years and make it accessible to students."

On May 2, 1967, the faculty adopted the following resolution relative to the keeping of examinations and term papers by faculty:

Examination papers, particularly final examination papers and term papers, if not returned immediately to students are to be kept at least for one term before they are destroyed so that they will be available for examination by students. It is understood that papers from the spring term will be kept through the fall term. Faculty members leaving the College are asked to leave their record books with the department chairperson, or if they do not wish to do so, to accept the obligation to keep these record books for at least a year in order that they will be available for checking records if this is necessary.

e. Student Papers and Writing

On May 15, 1962, the faculty adopted a resolution "strongly recommending that each student be required to write at least two short papers in each course throughout his or her college career, unless the course is not adapted to such a requirement," and "pointed out that such papers should be evaluated for content *and* form and that revisions should be required" where appropriate. It is clear that this resolution considers all faculty responsible for encouraging and maintaining good standards of written expression in all areas of the curriculum, and that careful attention to the quality of students' writing is indeed an integral part of faculty teaching loads.

Turabian's *Manual for Writers of Term Papers, Theses, and Dissertations* has been chosen as the style guide for the College as a whole and is recommended for use wherever formal term papers are assigned. However, the College *Writing Manual* should prove adequate as a style guide for short papers, even including those requiring some research in secondary sources. Individual faculty and departments are at liberty to establish style criteria of their own, provided these approximate the accepted standards of the appropriate academic or professional discipline.

N.B. The College's Writing Center, established in 1975, expanded and relocated in 1977, provides assistance and instruction, for non-credit or credit, to students who want to improve their writing. Faculty are urged to refer students whom they consider in need of extra work in writing, to the Center's

Director. They are also urged to talk to the Director, the staff of the Center, and the members of the Writing Program Steering Committee, and to attend periodic workshops, to enable them to deal with student writing as effectively as possible.

f. Student Assistants

On February 18, 1964, the faculty approved the following resolution:

"In the use of student assistants, the obligation for determining the requirements of a course rests with the instructor; likewise it is the instructor's exclusive responsibility to arrive at the student's final grade."

It is recognized, however, that in some courses a great deal of daily work is required (e.g., homework problems, exercises in grammar and translation, laboratory reports) which is immensely burdensome for the instructor to check and which could be safely checked by able student assistants. The assumption is that such problems would be in the nature of practice rather than assignments which contribute to the final grade. Moreover, reading them would not require the professional authority that is presumably the instructor's alone. In the case of this kind of work, student assistants may be permitted to do the checking. The instructor should exercise care in selecting student assistants.

g. Academic Honesty

(The faculty adopted the following Statement on Academic Honesty on November 2, 1983; amended February 12, 1985.)

STATEMENT ON ACADEMIC HONESTY

Lake Forest College is committed to high standards of academic honesty. Such standards are central to the process of intellectual inquiry, the development of individual character, and the maintenance of a civilized community. The integrity of academic life depends upon cooperation among students, faculty, and administrators.

i. Responsibilities of Students

- (a) No student shall engage in plagiarism by copying, closely paraphrasing, or in any way using someone else's work without explicit acknowledgement of author and source. Students are responsible for knowing what constitutes

plagiarism. A handout explaining plagiarism is available at the reference desk of Donnelley Library.

- (b) Students are not permitted to submit the same paper for credit in more than one course, unless all instructors involved grant their prior consent in writing.
- (c) No students shall procure in an unauthorized manner the questions or answers of any examination to be given at a subsequent time, or employ unauthorized aids while taking an examination.
- (d) No student shall aid another in violating the policy of academic honesty.
- (e) Students should cooperate with all members of the community in maintaining high standards of academic integrity.

ii. Responsibilities of Faculty and Staff

- (a) Faculty and staff shall exercise caution in the preparation, duplication, and security of examinations.
- (b) No test may be given prior to its originally designated time. The Dean of Faculty may grant exception to this rule at the request of the faculty member.
- (c) Faculty shall take reasonable steps consistent with the physical conditions of the classroom to reduce the possibilities of cheating on examinations.
- (d) Classroom tests must be proctored with diligence.
- (e) An instructor who returns a final examination to students must send a copy of the examination to the library, which must retain it for three years and make it accessible to students.

iii. The Academic Honesty Judicial Board

- (a) Composition:

- (i) Three faculty members, one from each division, appointed by FPPC, and an alternate chosen from any division, for staggered two-year terms.
- (ii) Three student members and an alternate, appointed by the Student Government's Executive Committee for terms of one academic year beginning with the fall term, subject to approval by the Dean of Faculty. These students must never have been found in violation of college rules by either the Conduct Board or the Academic Honesty Judicial Board.
- (iii) A Chairperson, appointed by the Dean of Faculty. All but the Chairperson can vote.

(b) Procedure:

When a student admits violating the policy of academic honesty:

- (i) The faculty member shall secure a written statement from the student acknowledging the violation.
- (ii) The faculty member shall submit this statement to the Board, along with a recommendation for a penalty.
- (iii) The Board shall determine the nature of the violation and impose a penalty. If the Board does not accept the penalty recommended by the faculty member, it must permit the faculty member to be heard in support of his or her recommendation.

When a student denies violating the policy of academic honesty:

- (i) The faculty member shall submit to the Chairperson of the Board the student's name together with a written description of the alleged violation. A copy must be sent to the student by the Chairperson.

- (ii) The Board shall hold a hearing, to which the Chairperson, upon consultation with the faculty member and the student, may summon a reasonable number of relevant witnesses.
- (iii) The student shall have the right to be assisted at the hearing by a counselor drawn from the College community.
- (iv) If the Board finds that the student violated the policy of academic honesty, it shall impose the appropriate penalty. Such a finding shall require a minimum of four votes.

When a case arises between semesters or during summer session, it ordinarily will be deferred to consideration by the Board until the following semester. However, the student involved may elect to leave determination to an ad hoc board constituted by the Dean of Faculty. The board will be drawn, insofar as is possible, from the regular Academic Honesty Judicial Board and will consist of three faculty members and three students.

In the event that the Board members agree on the finding of violation but are divided on the issue of an appropriate penalty, the presumption will be in favor of the lesser of the contemplated penalties. To achieve this result the Board will vote first on the strongest suggested penalty and if this fails to receive a minimum of four votes will then vote on a lesser suggested penalty.

(c) Penalties:

First offense--For a student in a course: failure of the examination, project, or course. The failing grade cannot be raised by additional work. For a student not in the same course: to be determined by the Board.

Second offense--suspension from the College for a period of time to be determined by the Board. The President must approve this action.

Third offense--expulsion from the College. The President must approve this action.

In exceptional cases the Board may impose a lesser penalty.

h. Student Evaluations of Courses and Teaching

The faculty voted on September 3, 1986, to adopt a short questionnaire for course evaluation, to be used in all classes. The evaluation was amended by the faculty on February 6, 1991:

EVALUATION PROCEDURE

This questionnaire is to be administered every term in every course (except for independent studies). The questionnaire should be distributed at the beginning of class at a meeting before the last regular meeting of the class. Responses will be anonymous and gathered in the classroom by a proctor, either another instructor or a member of the support staff. The proctor is responsible for submitting these forms to the Dean of the Faculty, who will send results to the chairperson and the instructor. For classes with fewer than five students, the Dean of Faculty's office will type all handwritten responses to ensure confidentiality. Instructors may examine their course evaluations, in the Dean of Faculty's office, only after grades for the course in question have been handed to the Registrar and only after the forms have been tabulated. Photographic reproduction of either numerical evaluations or written comments is forbidden. (FPPC, March 29, 1978.)

STATEMENT OF PURPOSE

Teaching is of primary importance at Lake Forest College. Your evaluations will help to promote outstanding teaching. They will be read not only by the instructor to improve his or her teaching, but also by those charged with evaluating the teacher, including the Dean of the Faculty and the chairperson of the department, and will become part of the instructor's permanent record, to be consulted when tenure and promotion are considered.

It is important that you take your time and give careful consideration to your ratings and comments. Your responses should be your own. You should not communicate with other members of the class while completing this evaluation.

The faculty member should make no prior comments about the evaluations and must not be present while they are being completed. Moreover, the instructor is not allowed to read these evaluations until after the final grades have been submitted to the registrar.

[first page]

EVALUATION FORM

This evaluation is designed to provide constructive commentary on this course, the instruction, and your involvement in the course. Complete all three pages and return the entire form to the proctor. It is crucial that students not influence or distract others who are filling out the evaluation form; please remain quiet until all forms have been collected. Completed forms are kept by the Dean of the Faculty. The instructor can read them only after final grades have been turned in.

Mark in the box that corresponds to your evaluation. **Make any relevant comments specific to the course in the space provided below each group of questions.** To ensure confidentiality, you may choose to print or alter your handwriting on the open-ended questions.

I. THE COURSE:

1. It achieved a coherent structure, with assignments
and classes complementing each other extremely well ☐ ☐ ☐ ☐ ☐ not at all
2. The ideas presented were sophisticated,
challenging ☐ ☐ ☐ ☐ ☐ trivial,
obvious
3. The tests and other means of evaluation were based fairly
on class and homework ☐ ☐ ☐ ☐ ☐ not clearly
related to class
and homework
4. The tests and other means of evaluation were extremely
challenging ☐ ☐ ☐ ☐ ☐ not very
challenging
5. The required texts, readings and
laboratory or field experiences were extremely
informative ☐ ☐ ☐ ☐ ☐ useless
6. The level of the material presented was, in relation
to the level of the class about right ☐ ☐ ☐ ☐ ☐ much too high,
OR
☐ ☐ ☐ ☐ ☐ much too low
7. In comparison with other courses I have had
or am taking at LFC, this one was among the most
difficult ☐ ☐ ☐ ☐ ☐ among the
easiest
8. Assess the strengths and weaknesses of this course. What specific improvements do you recommend?
Use other side if necessary.

OVERALL EVALUATION OF THE COURSE:

The quality of this course was excellent ☐ ☐ ☐ ☐ ☐ poor

[second page]

II. THE INSTRUCTOR:

1. defined the overall goals of the course very clearly ☐ ☐ ☐ ☐ ☐ not clearly at all
2. met the stated goals extremely well ☐ ☐ ☐ ☐ ☐ not at all
3. presented and explained ideas very clearly ☐ ☐ ☐ ☐ ☐ not clearly at all
4. inspired confidence in her/his professional knowledge extremely well ☐ ☐ ☐ ☐ ☐ not at all
5. prepared for class very thoroughly ☐ ☐ ☐ ☐ ☐ very carelessly
6. conveyed an attitude of enthusiasm ☐ ☐ ☐ ☐ ☐ apathy . . .
toward the material of the course
7. encouraged students to share their knowledge
and opinions, where appropriate very effectively ☐ ☐ ☐ ☐ ☐ not at all
8. was available and helpful outside of class always ☐ ☐ ☐ ☐ ☐ never
9. encouraged and helped me to learn the course material extremely well ☐ ☐ ☐ ☐ ☐ not at all
10. Assess the strengths and weaknesses of this instructor. Use other side if necessary.

OVERALL EVALUATION OF THE INSTRUCTOR:

As a teacher, the instructor was outstanding ☐ ☐ ☐ ☐ ☐ poor

[third page]

III. AS A STUDENT:

1. In an average week, while preparing for this class
and doing the other assigned work outside of class time I spent at least ☐ ☐ ☐ ☐ ☐ hours
10 8 5 2 0
2. I attended class this fraction of the time: about 100% ☐ ☐ ☐ ☐ ☐ 50% or less
3. I participated in class discussions or activities,
where appropriate almost every meeting ☐ ☐ ☐ ☐ ☐ not at all
4. I tried to master the material of the course with my very best effort ☐ ☐ ☐ ☐ ☐ with very little effort

OVERALL SELF-EVALUATION:

As a member of this class, I was responsible and productive ☐ ☐ ☐ ☐ ☐ involved very little

ADDITIONAL COMMENTS

Each student evaluation and the corresponding "Faculty Supplement to Course Evaluations" will be kept for 6 years, except that in the case of faculty who will be eligible for tenure consideration, all such materials will be kept until the tenure consideration is completed. After these specified times, the Dean of the Faculty may elect to destroy the materials.

i. Academic Evaluation and Appeal Procedure

Students shall be evaluated by their instructors solely on the basis of their academic performance, not on their opinions or conduct in matters unrelated to academic standards. On May 1, 1973, the faculty adopted an A,B,C,D,F grading system (described in the *College Bulletin*, pp. 34-35) with the following guidelines for distribution of grades: "that for the College as a whole, some 10-15% of grades should be A and 25-30% should be B; that instructors not be expected to conform rigidly to these guidelines, term by term, but that they should be approached, perhaps as an average over a period of time." While students are responsible for maintaining standards of academic performance established by their professors, they shall have protection against prejudiced or capricious academic evaluations. The appeal procedure to be followed in cases where a student does claim prejudicial or capricious grading is printed in the *Student Handbook*.

9. THE LIBRARY

The library program, through the access it provides to the full range of ideas and discoveries available in our age, rests at the heart of the instructional process at the College, a catalyst for the kind of experimental learning Lake Forest College is able to provide.

The library program enables the student--across the whole curriculum--to apply precepts, ideas, and methods introduced in class to individual questions and projects which develop his or her ability for independent inquiry.

a. The Structure of Resources Supporting Collegiate Educational Goals

i. The Core Collection

Because of the wealth of research materials available in the Chicago region, the College's libraries--unlike those of similar institutions in more isolated settings--are developing core collections devoted to the immediate and current needs of instruction on campus. A core collection provides basic, course-related readings and project materials.

ii. Reference and Bibliographical Collection

Because of the region's rich resources, more advanced re-searchers need not be limited to the holdings on campus. Abstracts, indexes, bibliographies, and reference materials reveal the range of information in existence on a topic.

iii. Interlibrary Borrowing

The main vehicle for retrieval of this information from off-campus sources is interlibrary borrowing, available through the reference staff in Donnelley. In 1985-86 one item came from off campus for every four loaned out from the College. Through contractual arrangements, the College library has quick access to some 15 million volumes in the Chicago area.

iv. Use of Off-Campus Libraries

Students and faculty make regular use of the neighboring Lake Forest (Public) Library and the Barat College Library, two institutions whose collecting policies we complement and with whom we share reciprocal borrowing privileges. Other area libraries are open to members of the Lake Forest campus community who make prior arrangements with the reference desk: Chicago research libraries, North Shore public libraries (over a million volumes within walking distance of Northwestern railroad suburban stations), and nearby college, university, and special libraries.

b. The Faculty and The Library Program

The lines of activity of the teaching faculty and the library program intersect at many points.

- i. Instructors build into their courses problem-solving situations which result in their students developing library research skills and sophistications. An educational demand for library resources is an essential prerequisite for a library program of quality.
- ii. Teachers and librarians work in coordination to provide *orientation* to research and use of libraries. The librarians prepare course and subject bibliographies, make class presentations, and consult with teachers in order to encourage and facilitate library use.

- iii. The librarians rely on instructors for the *selection of books* needed to support their teaching. The majority of the library's book purchase funds is allocated to the academic departments which select books to serve the needs of students for course reading and for term projects. The chairperson, or a designated library liaison member of the department, coordinates (and must approve) individual teacher requests.

For the *core collection*, book selections mostly requested are standard editions and key studies, books providing coverage for areas of teaching emphasis.

In consultation with the reference librarian, teachers select *reference* tools specifically related to their disciplines: bibliographies, yearbooks, dictionaries, and compendia of limited scope. Such tools relate instruction to resources, on and off campus. The purchases are made from departmental funds and are reviewed at the departmental level.

The acquisition and maintenance of *periodicals* is the joint concern of instructors and librarians. Each autumn the College's subscription list is reviewed in light of new availabilities, shifting needs, rising prices, and off-campus sources. For materials of concern to more than one discipline (area studies, literature in translation, women's studies, etc.) a separate fund is administered by the librarians. Instructors should send interdisciplinary or multidisciplinary requests directly to the librarians for consideration.

Because of the wealth of specialized materials readily accessible in area libraries, instructors do not request purchase of materials needed primarily for their own study or research. In cases where area holdings are insufficient, such specialized purchases are considered both at the departmental level and by the College Librarian.

The librarians work closely with instructors in allocating resources and in discussing goals, but by and large the books added reflect instructors' best judgments of those books which will be most effective in supporting current instruction. The librarians select general and universal books, periodicals, and reference tools, along with certain items selected to challenge the intellectual styles and assumptions of students and teachers.

- iv. Instructors designate materials for reserve; a reserve reading collection is maintained at the Circulation Desk for course-related readings. Instructors are urged to plan ahead to meet their students' needs for

access to key readings. Reserve cards are issued to instructors to be completed and turned in to regular (non-student) library staff members for processing. Cards submitted after the beginning of a term can be subject to delays unless the instructor delivers books with completed cards.

- v. *Audio-visual* equipment and materials, (e.g., projectors, screens, tape-recorders, overhead projectors, etc.,) are available in the library and in classroom buildings to support instruction. Also, listening assignments can be arranged for students through the A-V Center in Donnelley. Tapes, filmstrips and the like can be ordered from departmental allocations for this purpose when the materials are not already available. A manual for faculty is distributed by the Center.
- vi. While teachers do not request purchase of books which are primarily for their *personal reading and research*, the librarians place a high priority on encouraging the faculty to pursue their own studies. The rich library sources of the Chicago area will support work in most specialties, and inter-library borrowing minimizes the inconvenience of travel. New faculty should plan to consult early with the librarians on the structure of resource availability in their fields of interest. Special on-campus resources are not to be overlooked, and a faculty study area in the library is available for use. Books lent to faculty are not subject to the regular due dates, but all materials are called in at the end of each spring term. Faculty are urged to be sensitive to the needs of the community for frequently utilized items, and not to hold them any longer than necessary (or to arrange for the ordering of second copies).
- vii. Faculty *gifts* to the libraries have been a significant factor in the development and maintenance of the core collection. Paperbacks, standard editions, casebooks, etc., have replaced missing copies, added extra copies of high demand items and expanded the scope of the libraries' holdings in underdeveloped areas. The librarians welcome gifts, or inquiries about gifts, and assist in preparing documentation for tax purposes.

B. FACULTY ADMINISTRATIVE POLICIES

1. CONFIDENTIAL TREATMENT OF RECORDS (Amended September 1, 1987)

The College desires to protect its undergraduates and employees from improper disclosures of information, violating the confidential relationship appropriate between an

educational institution and its personnel. Accordingly, it is our official policy *not* to send transcripts of record to other colleges or universities, to prospective employers, to government agencies or anywhere else *except* at the specific written request of the student or the graduate. The same policy applies to information concerning any student's activities outside the classroom: membership in organizations, disciplinary difficulties, participation in demonstrations, etc. These are matters of confidence, and the College will not disclose them to anyone unless the student authorizes such release. Any official written communication from the College should be requested in writing by the student. Informal verbal references in conversation or by telephone should be ruled by caution and restraint, seeking to protect the individual from disclosures that are properly matters of private record and not for public information. Any item that is already public, e.g., the fact of attendance at or graduation from the College, is obviously not confidential and need not be treated as such.

Any person on the College payroll deserves similar protection. No information should be transmitted to any source without specific request and authorization by the individual concerned.

On May 6, 1969, the faculty approved the following: "Materials submitted in support of application for admission must be confidential within the faculty and professional staff."

On April 4, 1967, the faculty approved the following: "To minimize the risk of improper disclosure of information, students' academic records should be kept separate from their disciplinary records. The face of students' academic records (and therefore a transcript of their record) should carry, in addition to the usual information concerning courses and grades, the statement that unless otherwise noted, the student is in good academic standing. Additional permanent notations on the face of the academic record should be limited to: academic probation, dismissal for academic reasons, and dismissal for non-academic reasons."

2. OFFICE HOURS

Each faculty member is asked to set up and keep regular office hours which should be posted just outside of the office door. Arrangements to see students by special appointment, when this is called for, should also be made.

3. SECRETARIAL SERVICES

Secretarial services are provided in classroom buildings. Members of the faculty may take tests, syllabi, and letters for typing and duplicating to the appropriate faculty secretary. Manuscripts will be typed, but materials for current class use and letters will have prior claim on secretarial time. Dissertations as well as non-academic manuscripts cannot be typed by faculty secretaries on College time.

Multiple copies of materials for distribution to classes, unless they are only two or three pages in length, cannot be completed on short notice. More extensive uncopyrighted texts must be requested well in advance of the time they are needed and are to be sold at cost through the College Bookstore.

4. COPYING

a. Photocopying

Each department has a budget to pay for the copying of materials needed by faculty for their teaching. This copying can be done by the Print Shop staff where faculty are required to specify whether a given copying job is to be charged to the department or paid for in person (if the material to be copied is for private use). Alternatively, photocopying can be done, with the use of an auditron, at any copier in an academic building. Faculty may also make use of the machines in the library, either for cash, or by obtaining a key from one of the librarians and charging the cost to the department. Faculty should exercise discretion and moderation in resorting to copying for classroom purposes. They should be especially careful to observe the Copyright Laws, recently passed by Congress, which impose difficult limits on the amount and type of copying of printed materials.

b. Copyright Law Guideline

The Copyright Revision Act, effective January 1, 1978, is designed to assure protection for the intellectual content of creative work, while permitting fair and reasonable dissemination of the work for legitimate use. According to the law's guidelines and definitions of what constitutes legitimate and fair use, faculty are permitted to reproduce published material for their own scholarly use, and for their students' use either on Library Reserve or in the classroom. However, they should exercise discretion in the amount and type of such uses. The following guidelines are intended to promote discretion and compliance with the law. When in doubt, faculty should consult with the librarians.

i. Permitted Copying

A single copy, for use in scholarly research or teaching, of:

- a chapter from a book
- an article from a periodical or newspaper
- a chart, diagram, graph, cartoon, or picture

Multiple copies of any of these for classroom use, one per student.

ii. **Illegal Copying**

A single copy, for use in scholarly research or teaching, of a whole book, if the latter is reasonably accessible for purchase or through library loan.

Multiple copies of the same.

Multiple copies of any of the items included under Permitted Copying above for classroom use *if it has been copied for another class* in the same institution.

Multiple copies of a poem, article, story, or essay *from the same author* more than once in a class term, or multiple copies from the same collective work or periodical issue *more than three times a term*.

A copy of separate works to take the place of an available anthology.

Multiple copies of works more than nine times in the same class term (i.e., even if the criteria under Permitted Copying are observed, instructors should not put themselves in the position of having to hand out copies of as many as nine different items in the course of a term).

A copy of consumable materials, such as workbooks.

It should be clear from the guidelines that the Copyright Revision Act is not intended to stifle the reasonable use of copying for the purposes of teaching and research. It is intended to protect authors and publishers from unscrupulous and thoughtless copying practices, and to encourage people to be sure they have made reasonable efforts to locate materials for purchase or loan, either for themselves or for their students, and not to use copying as a last-minute alternative to planning a course curriculum well enough in advance.

N.B. Similar discretion should be exercised in the use of videotaped materials.

5. **TELEPHONES**

(Effective November 11, 1989)

Lake Forest College uses (since 1978) the Bell Dimension System, which makes available a range of special features. For information about how to use the system, faculty are referred to the Business Office, which is in charge of the telephone exchange.

All phones in the system are programmed to restrict outgoing calls in certain ways. Faculty and staff may make calls within the 708 area code (Greater Chicago) and the 312 area code (Chicago proper), of both a professional and personal nature, by dialing 9

followed by the required number. There is a time limit of 10 minutes on such calls. Calls to places outside the College's Call-Pak area must go through the switchboard operator, who is available 8:30 to 5:00, Monday through Friday. The WATS lines should be used for such calls whenever possible. Calls placed through the operator, including WATS calls, should be of a professional nature only. Personal calls may only be made in the 708 and 312 areas.

6. MAIL

(Amended September 1, 1987)

The faculty are assigned box numbers and combinations by the Mail Room, and the mail boxes are located in Commons. Mail distribution to the boxes is made by the Business Office. Faculty members are asked to check their assigned mail boxes regularly since announcements as well as United States mail are distributed through these boxes. Faculty should give box numbers and combinations to individuals that pick up their mail. Faculty living on campus need not put LFC as return address or it will go to the campus Mail Room.

Outgoing College mail should be deposited at 3:00 p.m. in order to have metered postage attached. The slots for deposit of United States mail and campus mail are located in Commons, below the Mail Room window. The name of the office or department sending the mail should be placed on the envelope.

Personal mail may *not* be deposited without proper postage stamps, nor may College stationery be used for personal mail.

Only First Class mail is forwarded; all other is discarded. The Mail Room uses the address in the directory to forward mail. If another address is appropriate, please notify the Mail Room. Faculty members who will be on leave or in off-campus programs should notify the Mail Room as to what should be done with their mail and provide pre-addressed forwarding labels.

For further information and procedures please consult the Mail Room brochure.

7. BOOKSTORE

The campus Bookstore, located on the lower level of Commons Building, supplies all required and recommended course material, as well as paperbacks, art and school supplies, cards and small gift items. Newspapers are available and will be held daily on request. The Bookstore is managed by Follett Stores. A Bookstore Committee, consisting of two faculty, two students, two administrators, and one representative from Follett Stores, advises the LFC administration on the Bookstore's operation.

Basic office supply materials, such as pencils, pens, paper and examination booklets, may be obtained at the Bookstore and charged against the general faculty office supply

budget (710-005). Such items are listed on a charge slip which is to be signed by the faculty member. Effective with the 1991-1992 academic year, account #710-005 will not be used for this purpose. Such supplies will be charged to the appropriate departmental budget, following departmental guidelines.

Since most publishers will supply desk copies free, the Bookstore has prepared forms which can be used to order these desk copies. They should, of course, be ordered in plenty of time so that they are here when classes begin. In a few cases, particularly when the texts are hardbacks or are imported, desk copies may not be available. We do not want a faculty member to have to pay for the textbooks used in the course and in these cases the College will purchase the textbooks, but we do not like to have to pay for those copies that will be supplied by the publisher. Any textbook taken from the Bookstore must be signed for by the faculty member. The book will be charged until it has been replaced by a desk copy.

The Bookstore welcomes special orders for books and supplies from both faculty and students. Faculty and their families receive a 10% discount on purchases for personal use over \$1.00, except sale merchandise. The Bookstore accepts VISA, MasterCard, and Discover credit cards, as well as personal accounts.

Hours: First week of classes, fall and spring terms, 8:00 a.m. - 7:00 p.m.; Regular hours: Monday and Tuesday, 8:00 a.m. - 6:45 p.m.; Wednesday through Friday, 8:00 a.m. - 4:30 p.m.

8. NO SMOKING

No smoking is allowed in any classroom, seminar room, studio, laboratory, library public area, the auditorium, the field house, or the chapel. (Please refer to the *Student Handbook* for the No-Smoking Policy.)

9. DRUG-FREE WORKPLACE POLICY

Pursuant to the requirement of Public Law 100-690, Lake Forest College issues the following statement regarding a drug-free workplace:

Lake Forest College expects its faculty, staff and student employees to report for work free of the influence of illegal drugs at all times during the performance of their duties, to refrain from their use and to obey related laws established and enforced by legal authorities.

a. Conditions

No employee shall unlawfully manufacture, distribute, dispense, possess, transfer, or use a controlled substance in the workplace or wherever the work of Lake Forest College is being performed.

As a condition of employment at Lake Forest College, employees will abide by the terms of this policy and will notify the College if convicted under any criminal drug statute for a violation occurring in the workplace no later than five days after such conviction.

b. Definitions

- i. **Employees** - This prohibition covers all employees, including part-time and student employees.
- ii. **Workplace** - The workplace is any site on or off campus where the work of Lake Forest College is being performed.
- iii. **Controlled Substances** - Controlled substances are those substances whose distribution is controlled by regulation or statute including, but not limited to, narcotics, depressants, stimulants, hallucinogens, and marijuana.

(A complete definition may be found in Schedules I through V of Section 202 of the Controlled Substances Act [21 U.S.C. 812], and as further defined by regulation at 21 CFR 1300.11 through 1300.15.)

c. Consequence of Violations

Employees found in violation of the prohibitions set forth under "Conditions" will be subject to disciplinary action, up to and including termination. Each case will be evaluated on an individual basis; disciplinary action will be dependent on the severity of the violation and the circumstances involved.

Employees who receive a criminal drug statute conviction for a violation occurring in the workplace will be subject to disciplinary action by the College, up to and including termination. Additionally, employees may be required to participate in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law enforcement, or other appropriate agency.

**10. DRUG AND ALCOHOL ABUSE PREVENTION POLICY
REQUIRED BY THE FEDERAL GOVERNMENT FOR A DRUG-FREE SCHOOL**

Pursuant to the requirement of Public Law 101-226, Lake Forest College announced and implemented the following statement regarding a drug-free school in October 1990.

a. Prohibited Conduct

The unlawful possession, use, or distribution of illicit drugs or alcohol by students and employees on College property or as part of any College activity is prohibited.

b. Applicable Legal Sanctions

- i. The Illinois Criminal Code classifies drug-related offenses (e.g.: Manufacture or delivery of a controlled substance, engaging in a calculated criminal drug conspiracy, drug trafficking, unauthorized possession, etc.) as either Class A misdemeanors or Class 1, 2, 3, 4, or X felonies depending upon the severity and nature of the conduct. The following criminal penalties are applicable to the identified categories of offenses.

Category of Offense	Monetary Fines	Imprisonment
Class A Misdemeanor	\$ 1,000	Up to 1 year
Class 4 Felony	Up to \$ 15,000	1 to 3 years
Class 3 Felony	Up to \$150,000	2 to 4 years
Class 2 Felony	Up to \$200,000	3 to 7 years
Class 1 Felony	Up to \$250,000	4 to 15 years
Class X Felony	Up to \$500,000	6 to 60 years

- ii. The applicable Federal penalties and sanctions for illegal possession of a controlled substance are given on the attached Appendix A.

c. Counseling Services and Rehabilitation Program

The use of illicit drugs and the abuse of alcohol may result in serious health consequences. A description of health risks associated with substances covered by the Controlled Substances Act (21 U.S.C. 811) is given on the attached Appendix B. A summary description of health risks associated with alcohol is given on the attached Appendix C. For additional information, consult pamphlet, Drugs and the Body, which is available in the Personnel Office. Students experiencing problems with drug and alcohol abuse are encouraged to seek assistance in the Counseling Center. The Center offers individual counseling and may offer Peer Counselors and Drug and Alcohol Support Groups for additional assistance. Employees with group health insurance coverage should refer to the booklet, Your Group Benefit Plan, for coverage on drug and alcohol treatment. In addition, the Personnel Office has available as a reference resource, Human Services for Lake County People.

d. College Sanctions and Penalties

Lake Forest College employees and students found in violation of the prohibitions set forth in their respective Handbooks will be subject to disciplinary action up to and including termination or suspension and possible referral for prosecution. Each case will be evaluated on an individual basis. It is possible a disciplinary sanction may include the completion of an appropriate rehabilitation program.

e. Biennial Policy Review

This policy will be biennially reviewed by College Council to determine its effectiveness and to recommend changes to the program to the President if they are needed. Such a review will also determine that the College's disciplinary sanctions are consistently enforced.

APPENDIX A

Federal Trafficking Penalties

CSA	PENALTY		Quantity	DRUG	Quantity	PENALTY					
	2nd Offense	1st Offense				1st Offense	2nd Offense				
I and II	Not less than 10 years. Not more than life. If death or serious injury, not less than life. Fine of not more than \$4 million individual, \$10 million other than individual.	Not less than 5 years. Not more than 40 years. If death or serious injury, not less than 20 years. Not more than life. Fine of not more than \$2 million individual, \$5 million other than individual.	{ 10-99 gm or 100-999 gm mixture	METHAMPHETAMINE	{ 100 gm or more or 1 kg or more mixture	Not less than 10 years. Not more than life. If death or serious injury, not less than 20 years. Not more than life. Fine of not more than \$4 million individual, \$10 million other than individual.	Not less than 20 years. Not more than life. If death or serious injury, not less than life. Fine of not more than \$8 million individual, \$20 million other than individual.				
			{ 100-999 gm mixture	HEROIN	{ 1 kg or more mixture						
			{ 500-4,999 gm mixture	COCAINE	{ 5 kg or more mixture						
			{ 5-49 gm mixture	COCAINE BASE	{ 50 gm or more mixture						
			{ 10-99 gm or 100-999 gm mixture	PCP	{ 100 gm or more or 1 kg or more mixture						
			{ 1-10 gm mixture	LSD	{ 10 gm or more mixture						
			{ 40-399 gm mixture	FENTANYL	{ 400 gm or more mixture						
			{ 10-99 gm mixture	FENTANYL ANALOGUE	{ 100 gm or more mixture						
			Drug		Quantity			First Offense		Second Offense	
			Others ²	Any	Not more than 20 years. If death or serious injury, not less than 20 years, not more than life. Fine \$1 million individual, \$5 million not individual.			Not more than 30 years. If death or serious injury, life. Fine \$2 million individual, \$10 million not individual.			
			III	All	Any			Not more than 5 years. Fine not more than \$250,000 individual, \$1 million not individual.		Not more than 10 years. Fine not more than \$500,000 individual, \$2 million not individual.	
			IV	All	Any			Not more than 3 years. Fine not more than \$250,000 individual, \$1 million not individual.		Not more than 6 years. Fine not more than \$500,000 individual, \$2 million not individual.	
V	All	Any	Not more than 1 year. Fine not more than \$100,000 individual, \$250,000 not individual.		Not more than 2 years. Fine not more than \$200,000 individual, \$500,000 not individual.						

Law as originally enacted states 100 gm. Congress requested to make technical correction to 1 kg.

¹Does not include marijuana, hashish, or hash oil. (See separate chart.)

Federal Trafficking Penalties - Marijuana

As of November 18, 1988

Quantity	Description	First Offense	Second Offense
1,000 kg or more; or 1,000 or more plants	Marijuana Mixture containing detectable quantity*	Not less than 10 years, not more than life. If death or serious injury, not less than 20 years, not more than life. Fine not more than \$4 million individual, \$10 million other than individual.	Not less than 20 years, not more than life. If death or serious injury, not less than life. Fine not more than \$8 million individual, \$20 million other than individual.
100 kg to 1,000 kg; or 100-999 plants	Marijuana Mixture containing detectable quantity*	Not less than 5 years, not more than 40 years. If death or serious injury, not less than 20 years, not more than life. Fine not more than \$2 million individual, \$5 million other than individual.	Not less than 10 years, not more than life. If death or serious injury, not less than life. Fine not more than \$4 million individual, \$10 million other than individual.
50 to 100 kg	Marijuana	Not more than 20 years. If death or serious injury, not less than 20 years, not more than life. Fine \$1 million individual, \$5 million other than individual.	Not more than 30 years. If death or serious injury, life. Fine \$2 million individual, \$10 million other than individual.
10 to 100 kg	Hashish		
1 to 100 kg	Hashish Oil		
50-99 plants	Marijuana		
Less than 50 kg	Marijuana	Not more than 5 years. Fine not more than \$250,000, \$1 million other than individual.	Not more than 10 years. Fine \$500,000 individual, \$2 million other than individual ¹
Less than 10 kg	Hashish		
Less than 1 kg	Hashish Oil		

*Includes Hashish and Hashish Oil

(Marijuana is a Schedule I Controlled Substance)

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APPENDIX C

Alcohol consumption causes a number of marked changes in behavior. Even low doses significantly impair the judgment and coordination required to drive a car safely, increasing the likelihood that the driver will be involved in an accident. Low to moderate doses of alcohol also increase the incidence of a variety of aggressive acts, including spouse and child abuse. Moderate to high doses of alcohol cause marked impairments in higher mental functions, severely altering a person's ability to learn and remember information. Very high doses cause respiratory depression and death. If combined with other depressants of the central nervous system, much lower doses of alcohol will produce the effects just described.

Repeated use of alcohol can lead to dependence. Sudden cessation of alcohol intake is likely to produce withdrawal symptoms, including severe anxiety, tremors, hallucinations, and convulsions. Alcohol withdrawal can be life-threatening. Long-term consumption of large quantities of alcohol, particularly when combined with poor nutrition, can also lead to permanent damage to vital organs such as the brain and liver.

Mothers who drink alcohol during pregnancy may give birth to infants with fetal alcohol syndrome. These infants have irreversible physical abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents are at greater risk than other youngsters of becoming alcoholics.

11. SAFETY

Lake Forest College is subject to the Federal Occupational Safety and Health Act of 1970. The purpose of this Act is to assure safe and healthful conditions of work for everyone. Since we are required to maintain injury and illness records, your concern for safety and your cooperation in reporting is essential if we are to have an effective program.

Each faculty member is asked not only to exercise care but to report dangerous working conditions such as slippery floors, inadequate wiring, sidewalk hazards, etc. Everyone is asked also to report accidents on forms available from the Personnel Office and to attend meetings and films on safety and health when they are offered. Those in charge of laboratories, in particular, are asked to know the appropriate safety regulations and see that they are observed.

12. LIABILITY INSURANCE COVERAGE

(Issued by the Vice President for Business on October 31, 1988, at the request of College Council)

Lake Forest College is a corporation. As such it maintains insurance coverage to protect itself and its employees when they are performing their duties as an employee. The coverage provides attorney fees as well as liability coverage to specified limits. Areas of specific interest are as follows.

Automobile

- College vehicles are covered by the general College insurance when driven by an authorized driver for a permitted use. If the use is improper, or by an improper driver, the College insurance would be primary, but it is fair to assume our insurance company would go after the driver for recovery.

- A personal car used for a College reason **does not** have College insurance coverage except as the College may be considered by a jury or judge to be responsible. If an accident occurs with a personal car while on College business the first coverage is your personal insurance. The same applies to student cars, but here a faculty member may have an additional exposure. If the faculty member lets a student drive a student car on a College event and does not check to see if that student has a driver's license, insurance, and a generally appearing safe car, it is possible that a judge or jury may look to the faculty member for some damages, especially for innocent passengers.

General accidents

- An accident in a lab, athletic field, the ratio station, at Commons, the Library, and any number of such events would be covered, again if in the general performance of a duty within the scope of your employment as a faculty member of the College. Insurance for accidents at an internship location would provide coverage to the College, the student and the faculty member -- again, so long as they are acting within the scope of their duties.

Other

- The College carries a number of miscellaneous liability coverages such as libel, slander, defamation of character, false arrest, malicious prosecution, corporal punishment and sexual misconduct. For these exposures our policy covers as insureds the College and the faculty member, but again, only while acting within the scope of employment.

A faculty member not authorized to coach in the athletic department but who does so is not acting within the scope of faculty duties and would not be covered.

In the event of an accident, it is advisable that the faculty or staff member/s involved make factual notes of the situation as soon as possible. Editorializing, fixing blame, or bringing in weakly-related facts could cause problems in the event of a law suit. Remember that you and/or what you have written can be subpoenaed. It will be up to the judge or jury to assimilate the facts and come to a decision, not you. If you put observations or conclusions into a report it can be turned pretty easily to benefit either side. Just make notes that will help you remember what happened, even if a few years later. Such things as date, situation (how soon were paramedics called and arrived, etc.) and emergency procedures used are examples. Stating that "the paramedics arrived quickly" is a judgment, but noting they were called at 12:02 and arrived at 12:10, or that they arrived in approximately 10 minutes, are facts. Write these notes for yourself as soon as you can after the incident.

CAUTION

There is always a chance that a judge or jury will rule that a person is guilty of willful and wanton negligence. If that is judged the case, a penalty may be assessed directly on the faculty or staff member even if they are doing their assigned duty and the insurance carrier is not permitted to reimburse. This is relatively rare, but if an obviously drunk student was told to drive a group on a snowy day, this could fall under such negligence.

When dealing with students relative to liability, just put yourself in the shoes of a parent and govern yourself accordingly. Accidents will happen in the normal course of events, but what no one wants are accidents that could have been averted with reasonable action, watchfulness and control.

You may wish to review your personal insurance coverage with your carrier to be sure that your limits are high enough.

13. SECURITY

Losses of College-owned equipment have been heavy in recent years. Faculty are asked to lock the doors of their offices when they are unoccupied and to keep secretaries' offices, equipment rooms, and laboratories locked except when they are in use. Outside doors of buildings should be kept locked when they are scheduled to be closed. When a

faculty member uses his or her outside door key to enter a building, he or she should be careful to see that the door is locked after use.

Keys for offices, classrooms, and laboratories are available to faculty upon requisition from the office of the Facilities Management. Forms requesting the keys are obtained from the Dean of the Faculty whose approval is required. Faculty may request that keys be issued to individual students to enable them to enter rooms in classroom buildings, but each requisition must be signed by the faculty member, the student, and the Dean of the Faculty. Master or sub-master keys are not issued to students, and faculty members are asked *never* to lend such a key to a student.

14. ADMINISTRATION OF ACADEMIC DEPARTMENTS (March 2, 1976; October 3, 1984)

Academic departments are basic administrative units of the College headed by persons of either sex under the title of Chairperson, who are appointed by the President for three-year terms which are, in principle, renewable and, at intervals, repeatable. In departments which have other faculty clearly qualified to carry out the responsibilities, an endeavor may be made periodically to replace the chairperson in order to share the honor, the opportunities, and the responsibilities of the position, and to encourage new outlooks. The President's decision to appoint, reappoint, or replace chairpersons is made in every case with the assistance of reviews and recommendations of the FPPC.

The title of chairperson does not carry with it additional remuneration. Course loads for chairpersons are negotiated with the Dean of the Faculty.

a. Responsibilities of Chairpersons

Chairpersons assume the primary responsibility for creating and maintaining, in their respective departments, environments which stimulate reflective and critical learning as a common endeavor of faculty and students. They also are primarily responsible for creating and maintaining, for faculty and students, conditions which favor the discovery and the development of outlooks, interests, and abilities in their respective disciplines in relation to the larger liberal arts program.

The chairperson is thus asked to:

- i. review and develop the departmental curriculum;
- ii. encourage departmental faculty research and professional development;
- iii. recruit and orient new faculty;

- iv. encourage improvements in teaching;
- v. determine and respond to departmental and individual needs;
- vi. determine and respond to the concerns of students in the department;
- vii. coordinate departmental programs with extra-departmental curricula and activities;
- viii. hold regular meetings of the department in order to involve faculty in departmental affairs;
- ix. arrange consultations and meetings with the student academic advisory committee, as required by College governance;
- x. be responsible for departmental administrative matters, including the development and submission of a proposed annual budget, and the monitoring of the allocated budget;
- xi. consult with senior members of the department faculty on matters of promotion and tenure;
- xii. write required reviews of departmental faculty.

The Dean of the Faculty is responsible for assisting and supervising the performance of chairpersons in office and for exploring with them ways and means of stimulating departmental and individual faculty development.

b. Chairperson Review

The Dean of the Faculty is responsible for gathering information relevant to the third-year review of chairpersons and for conveying to them personally the grounds for the President's decisions of appointment, reappointment, or replacement of chairpersons in their respective departments. The FPPC is responsible for reviewing relevant information and making recommendations to the President in accordance with the following procedure:

Review of approximately one third of the chairpersons will be made each year.

Chairpersons will be evaluated in the third year of their service. The evaluation will consist of both a review of the performance of the chairperson and a review of the feasibility and merits of a possible replacement.

By February 1 of the third year of a chairperson's service the Dean of the Faculty will request letters from all members of the department, addressing themselves to evaluating the success of the chairperson in fulfilling various responsibilities listed in the *Faculty Handbook* and the abilities of other members of the department as possible chairpersons.

The letters will be used by the Dean to formulate, together with one member of the FPPC (designated by the Committee), a full, accurate, and composite written statement of the data contained within them. This statement will be submitted to the FPPC, and the material from which the statement is drawn will remain with the Dean who will make its substance known to the chairperson.

The FPPC shall make its recommendation to the President on the basis of its review of the work of the chairperson and of the abilities and willingness of other members of the department to serve as chairperson for a term. The guiding principle of this recommendation should be to insure strong and creative chairing of the department while making best use of the talents and abilities of the members of that department. The recommendation is to be made by March 1.

Once a decision has been made by the President, members of the affected department shall be notified before a public announcement is made.

15. AIDS POLICY

Please consult the *Student Handbook* for these policies

16. REVIEW OF THE DIRECTOR OF ACADEMIC COMPUTING, DIRECTOR OF THEATRE, DIRECTOR OF THE WRITING CENTER, AND DIRECTOR OF INTERNSHIPS

By January 15 of each year, the Dean of the Faculty will obtain from each of the directors an updated *vita* and, on a form provided, a description of the individual's administrative, academic, and service activities during that calendar year. The Dean of Faculty will also obtain an Annual Report of the program, indicating events and activities of the past year (ending June 1) and plans for the future. This report will be written in consultation with the steering/advisory committee by June 1. All of this material will be referred to in making decisions concerning termination and reappointment. It will also be used by the Dean in recommending to the President individual salary levels for the succeeding academic year.

In addition to this annual review, a review during the third year of service and every third year thereafter is conducted by a committee consisting of the Dean of the Faculty, a member of the Promotion and Tenure Subcommittee (members of which are assigned by

its chairperson to various review committees), and a faculty member appointed by the FPPC who has reasonable contact and involvement with the enterprise. The committee operates in accordance with these principles:

- a. Evaluation will focus on the responsibilities associated with the specific enterprise, assigned teaching, and other duties; other campus and scholarly activities may also be considered.
- b. Materials considered are the individual's *vita*, the annual reports of the activities of the director of the Enterprise, the College's student evaluations of the instructor, and descriptive and evaluative statements by the Dean of Faculty. The committee, on its own initiative and/or at the individual's request, may solicit further information at the time of review; if it does, it will notify the individual being reviewed. The director may also submit a statement to the review committee.
- c. By March 1, the review committee makes a formal recommendation to the President.

17. REVIEW OF THE DEAN OF FACULTY

The President will review the Dean of Faculty in the spring semester of the Dean's fourth year at Lake Forest College and every four years thereafter. The evaluation process will consist of the following steps:

- a. The President will solicit evaluation letters from all department chairs, chairs of the Academic Policies Committee and the Faculty Personnel Policies Committee, and such other persons as the President shall designate. These letters will assess the performance of the Dean of Faculty in discharging his or her responsibilities.
- b. The President, after considering these evaluations, will decide whether to reappoint the Dean.
- c. After the President has met with the Dean to review the evaluated performance, the President will convey the character of the chairs' evaluation letters to the Tenure and Promotion Subcommittee of the FPPC.

18. REVIEW OF THE ATHLETIC PROGRAM (Accepted by the President, May 1, 1989)

a. Director's Annual Program Report

By June 1 of each year, the Director of Athletics is to submit to the President, and on request to FPPC, a report of the Athletic Program. The report should

summarize and review the vitality of the department's programs, note changes since the last report, discuss future plans (including plans to work with staff and students to improve the overall program), and indicate the relation of the total program to the educational mission of the College (including discussion of staff participation in campus-wide activities outside the Athletic Department). Where appropriate, this report should relate programs, changes, and plans to the most recent Third-Year Program Review (see b. below). Among other material the report is to draw on are annual, systematic, anonymous evaluations of members of the Athletic Department staff by students who participate in the Department's programs, and other surveys of students' views. An appendix to the report should indicate the record of each team and the participation of students in the several sports and programs.

b. Third-Year Program Review

During every third year a review of the Athletic Program will be conducted by a review committee:

- i. Members of the review committee will be:
 - (a) Dean of Students, or designate,
 - (b) Two members of the faculty, appointed by FPPC, who have been representatives to athletic conferences or who have had some contact with athletics at the College.
 - (c) One member chosen by the President.
- ii. This committee, which will choose its own chair, will work from the following:
 - (a) All Annual Program Reports prepared by the Director since the last Third-Year Program Review.
 - (b) Information obtained from a meeting with the Athletic Advisory Committee as a whole and, if the review committee desires, with individual members of it,
 - (c) Evaluations of the program by all full-time members of the department,
 - (d) A report from the Admissions Office evaluating the recruiting activity of the department,
 - (e) The most recent Third-Year Program Review.

By April 1, the review committee shall make a formal report to be submitted to the President and the Athletic Director. The review will highlight strengths and weaknesses of the program and will make suggestions for improvement. The President and the Director will review the report together and determine appropriate changes in the program.

This report will not be used in the evaluations of the Director or of members of the department for the academic year the report is submitted. The report will be part of the review process for members of the Athletic Department, in the next academic year.

19. REVIEW OF ATHLETIC DIRECTOR

a. Annual Position Review

By January 15 of each year, the Director of Athletics is to submit to the President an updated *vita* and a description of his or her administrative, academic, and service activities during the previous calendar year. Full-time members of the Athletic Department should submit similar reports to the Director of Athletics by December 15. (These reports are available to the President on request.)

b. Special Procedures Concerning the Annual Position Review for the Academic Year Following a Third-Year Program Review

- i. The Program Review and the Director's response will be part of the annual evaluation of the Director and his or her staff for these years.
- ii. Before making a decision about the position of Director of Athletics, the President will meet with FPPC to report on the substance of the Program Review and the Director's response and to seek FPPC's advice about the position. The President will report his decision concerning the position to FPPC.

20. REVIEW OF HEAD LIBRARIAN AND LIBRARY FACULTY
(Approved by the Faculty, March 6, 1991)

a. Review of the Head Librarian

The Dean of the Faculty will conduct an annual evaluation of the head librarian. In addition, during the third year of service and every third year thereafter, a review of the head librarian will be conducted by a committee composed of the Dean of the Faculty, a member of the Promotion and Tenure Subcommittee (members of which are assigned by its chairperson to various review committees), a faculty member of the library staff, and a member of the Library Committee. The committee operates in accordance with these principles:

- i. The head librarian will submit to the committee a file composed of the individual's vita, basic statistics concerning library services and use for the past three years, and a report of the individual's service. The service report will include reference to the following duties, which the committee will use as the basis for their evaluation:

- a) Fulfillment of the goals and objectives of the library.
- b) Overall operation of the facility, including development and implementation of an annual budget.
- c) In consultation with the staff and the Dean of the Faculty, review and maintenance of a written plan setting forth the organizational structure of the library, including job descriptions for the professional and paraprofessional staff.
- d) Supervision and annual evaluation of the professional and paraprofessional staff, based primarily on fulfillment of the duties and goals described in the organizational document.
- e) Establishment of library policies in consultation with the library professional staff and the Library Committee.
- f) Maintenance of effective relationships with the library staff, the college community, and the broader library community.
- g) Coordination and development of the library's collection in response to the needs of the College's academic departments and new areas of instructional activity.
- h) In consultation with the library staff, the Dean of the Faculty, and the Library Committee, formulation of short and long-term goals that pertain to the effective operation of the library.
- i) Special duties as assigned by the Dean of the Faculty or the President.

ii. The review committee will solicit evaluation letters from the Library Committee, other members of the faculty (representing all divisions of the college), and the library staff, including all professional and paraprofessional staff and selected student workers. The committee, on its own initiative or at the head librarian's request, may solicit further information, provided it so notifies the lead librarian.

iii. On the basis of its review, the committee will make a formal recommendation to the President.

iv. The annual evaluation conducted by the Dean of the Faculty will be based upon the criteria as specified in 1. above, as well as goals and objectives established by the Dean of the Faculty and the head librarian.

b. Annual Evaluation of Library Faculty

i. Each year librarians with faculty status will submit to the head librarian a description of their professional work during the prior calendar year. This self-evaluation will focus on library duties and activities, particularly as they relate to the job descriptions outlined in a.i.c). There will also be opportunity to report on professional development and community service. Self-evaluation

forms will be distributed to the library faculty by the Dean of the Faculty when evaluation forms are distributed to teaching faculty. Completed forms should be submitted to the head librarian by December 15.

ii. After discussing a draft with each librarian, the head librarian will submit performance evaluations, including the self-evaluation, to the Dean of the Faculty by January 22, with a copy furnished to each person evaluated.

SECTION III

FACULTY GOVERNANCE POLICIES

The complete governance plan adopted by faculty and students on April 1, 1972, is included in the *Student Handbook*. Faculty members are asked to refer to that publication for information about the structure of the governance, questions about composition and duties of committees, general governance procedures, election procedures, ratification and amendment procedures, and dissemination procedures of committee minutes.

A. FACULTY LEGISLATIVE BODY

The Bylaws of the College authorize faculty governance:

It shall be the function of the faculty to sit as a legislative body and, subject to the veto of the President, adopt rules and regulations governing the academic requirements of the student body and recommend the granting of degrees in course. The faculty shall keep a book of minutes of its meetings.

1. MEETINGS

(Faculty Meeting, April 15, 1980)

During the academic year meetings of the faculty are held regularly on the first Wednesday of each month. The last faculty meeting of the year is held the day before Commencement, at which time the faculty recommends the candidates for degrees. It is expected that all full-time faculty members attend all faculty meetings.

2. VOTING

(Faculty Meeting, April 15, 1980)

Voting privileges are given to all faculty members holding full-time appointments at the College. The FPPC may grant voting privileges to a part-time faculty member who teaches at least half of the normal course load or has duties equivalent to a half-time load, and who has served the College at least one year, if he or she applies for the privilege and assumes the responsibility of participating in departmental planning, accepting committee appointments, and attending faculty meetings.

3. RULES OF PROCEDURE

At its regular meeting on November 4, 1969, the faculty approved the following statement on procedure:

- a. That the faculty adopt *Robert's Rules of Order* (current edition) as its manual for parliamentary procedures, and that the faculty, because of its size, conduct debate in the manner described by Robert as "Informal Consideration" -- since "formal debate" would, for example, limit any speaker to only two statements on an issue.

N.B. Since *Robert's Rules of Order* is adopted, the faculty should be aware that the following is in effect:

- i. A quorum is a majority of all members.
 - ii. Suspension of the rules can be effected only by a 2/3 vote (2/3 of those present and voting).
 - iii. Calling the previous question can be effected only by a 2/3 vote.
 - iv. There shall be no voting by proxy.
 - v. Rules that protect absentees cannot be suspended; e.g., no new business could be introduced at a meeting specially called for another purpose.
- b. That the faculty appoint a parliamentarian to rule on matters of procedure.
- c. That regularly scheduled meetings convene at 5:00 p.m. and adjourn no later than 6:30 p.m.
- d. That substantive matters to be brought before the faculty must be channeled through committees, with the following provisions for exceptions:
- i. Any individual, having presented an item to a committee for its deliberation and recommendation, who feels that the committee is not acting on the matter with sufficient dispatch, may, with at least one week's prior notice to the faculty in writing, request that the faculty at its next meeting vote on directing the committee to consider the matter and report on it within a specified period of time.
 - ii. Subsequent to this, if the committee reports back but recommends no action and if the individual is still dissatisfied, the individual may then request the faculty, again with one week's notice in writing, to suspend its rules and to consider his or her own proposal.
- e. That committee reports requiring faculty action must be distributed in writing a week before the meeting at which the report is to be considered.

f. That if any committee has a proposal to bring to the faculty of such importance that it feels the issue should be supported by more than a simple majority of the faculty, the committee can make a corollary proposal that a 2/3 vote be necessary for passage of the proposal. The faculty would then vote on the procedural motion (a majority vote) before voting on the substantive issue.

4. SECRETARY OF THE FACULTY

The Faculty Secretary, who records and distributes the monthly Minutes of faculty meetings, is elected by the full faculty according to the following procedure, which was established by FPPC on November 10, 1978, amended April 5, 1989:

- a. in a year in which a Secretary of the Faculty is to be elected, the FPPC will nominate three faculty members; the Dean of the Faculty will send out ballots with the names of the three nominees, asking each faculty member to vote for one of the three;
- b. this election will not be held until *after* the final balloting for the elected committees; however, it will be held *before* recommendations are made for appointed committees;
- c. normally the person elected Faculty Secretary will serve two years.

B. FACULTY COMMITTEES

The College governance plan provides for the following standing committees, councils and boards:

1. COLLEGE POLICIES

College Council
Faculty Personnel Policies; Subcommittee on Promotions and Tenure
Long-Range Planning Committee for Academic Goals

2. ACADEMIC POLICIES

Academic Policies Committee
Academic Appeals Board

3. CAMPUS POLICIES

College Life Advisory Board

In addition to these, the Independent Scholar Committee, the Grievance Committee, the ad hoc Committee for Recruitment of Women & Minority Faculty, and the Writing Program Steering Committee are standing committees of the faculty. Faculty members also serve on the student judicial committees.

The Faculty Personnel Policies Committee recommends to the President faculty members who should be asked to serve as representatives on the Board of Trustees and on the various Trustee committees. It is customary to ask the chairperson of the subcommittee of the Faculty Personnel Policies Committee and a member of the College Council to represent faculty on the Board of Trustees. Usually, the chairperson of the Academic Policies Committee and the chairperson of the Faculty Personnel Policies Committee serve on the Academic Affairs Committee of the Board of Trustees.

There are also two faculty members serving on the Student Academic Affairs Committee, one of them to be chosen from the two faculty members elected to the College Life Advisory Board. Similarly, one of the two faculty representatives on the Finance Committee usually is a member of the College Council.

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